DOCUMENT RESUME

ED 111 263 HE 006 639

AUTHOR Sturner, William F.
TITLE Action Planning on the Campus. Part 1: The Concept. Part 2: The Plan.
INSTITUTION American Association of State Colleges and Universities, Washington, D.C.
PUB DATE Dec 74
NOTE 54p.
AVAILABLE FROM American Association of State Colleges and Universities, Suite 700, One Dupont Circle, Washington, D.C. 20036 ($2.50)

EDRS PRICE MF-$0.76 HC-$3.32 Plus Postage
DESCRIPTORS *Administrative Personnel; *Administrator Guides; *Educational Administration; Educational Objectives; *Higher Education; Institutional Role; Planning; *University Administration

ABSTRACT

Written for presidents and other academic and administrative leaders of American colleges and universities, this report presents both a philosophy and a practical format for the management of change. Theories of planned change and organizational development are discussed and applied to the structure of higher education. Planning guidelines offered are concerned with how to identify one's goals and objectives, how to anticipate change both within and outside the institution, and how to implement mechanisms which allow institutions to both attain their goals and respond to the constant flux in higher education. They encourage institutions to implement a systematic and futuristic approach to university management. The prime purpose of the paper is to diffuse information about the planned change managerial approach and to stimulate use of the mechanisms of planned change within American colleges and universities. (LBH)

****
* Documents acquired by ERIC include many informal unpublished *
* materials not available from other sources. ERIC makes every effort *
* to obtain the best copy available. nevertheless, items of marginal *
* reproducibility are often encountered and this affects the quality *
* of the microfiche and hardcopy reproductions ERIC makes available *
* via the ERIC Document Reproduction Service (EDRS). EDRS is not *
* responsible for the quality of the original document. Reproductions *
* supplied by EDRS are the best that can be made from the original. *
****

ED111263

U S DEPARTMENT OF HEALTH
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
EDUCATION
THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY

Action Planning on the Campus

Part I: The Concept

Part II: The Plan

PERMISSION TO REPRODUCE THIS COPYRIGHTED MATERIAL HAS BEEN GRANTED BY
American Association of State Colleges & Univ
TO ERIC AND ORGANIZATIONS OPERATING UNDER AGREEMENTS WITH THE NATIONAL INSTITUTE OF EDUCATION. FURTHER REPRODUCTION OUTSIDE THE ERIC SYSTEM REQUIRES PERMISSION OF THE COPYRIGHT OWNER

William F. Sturner

American Association
of State
Colleges and Universities
Washington, D. C.

HE006639

© 1974 The American Association of State Colleges and Universities, Suite 700, One Dupont Circle, Washington, D. C. 20036. $2.50 per copy.

December, 1974

About the Author

William F. Sturner is an assistant president for administrative affairs at Oakland University, Rochester, Michigan, responsible for such institutional activities as planning, information systems, and employment relations and personnel. He is a former journalist; has taught political science at three different universities; and has held a number of editorial and administrative posts in both education and industry.

He received a master's degree in communications from the University of Wisconsin, and a doctorate in political science from Fordham University. His publications include "Harbingers of Change," *Notre Dame Journal of Education*; "An Analytic-Action Model for Liberal Education," *Educational Record;* and *Searches and Celebrations: A Planning Manual for Personal and Professional Development*, published by Oakland University.

Mr. Sturner is 38 years old.

1900

Table of Contents

About the Author iii

Preface iv

Part I: The Concept v
- 1: Introduction 1
- 2: Preparing for the Planning Process 2
- 3: The Need to Plan 3
- 4: Principles of Planning 7
- 5: Planning as Organization Development 9
- 6: Phases of Planning 11
- 7: Elements of a Plan 14

Part II: The Plan 16
- 1: Introduction 17
- 2: Organization for Planning 18
- 3: Adopting the Planning Perspective 23
- 4: Basic Decisions 28
- 5: Designing a Comprehensive Plan 31
- 6: Responsibilities 44

List of Graphics 46

References 47

Preface

Action Planning on the Campus was written for presidents and other academic and administrative leaders of American colleges and universities. It presents, in two parts, both a philosophy for and a practical format for the management of change.

Management principles, though hardly new, have gained recent attention in higher education through changes in manpower requirements, finances, student interest, and other factors which require a greater degree of planned change on the campus. Administrative and academic emphasis on planned change as a standard procedure of a college or university varies in degree, both in acceptance and in level of operation, from campus to campus. In its two-part presentation, *Action Planning on the Campus* discusses the basic theories and concepts of change management *and* the practical, step-by-step implementation of a change plan.

Part I, "The Concept," discusses the theories of planned change and organizational development, applying these broad concepts to the structure of higher education. Part II, "The Plan," offers practical guidelines which may be used in implementing the theories of planned change on campus. The planning guidelines are concerned with how to identify one's goals and objectives, how to anticipate change both within and without the institution, and how to implement mechanisms which allow institutions to both attain their goals and respond to the constant flux in higher education. Moreover, they encourage institutions to implement a systematic and futuristic approach to university management.

The organization of *Action Planning* into two distinct parts makes it an effective tool for colleges and universities, regardless of their degree of familiarity with organizational development and the extent of their experience with planned change procedures.

Neither the approach to planning nor the planned change activities outlined here is totally new. The synthesis is the author's, but the basic tenets and tools of planned change have been written about and utilized by others for some time. What this guidebook is attempting to do is to generate greater awareness and use of these philosophies and techniques by persons in higher education. Its prime purpose is to diffuse information about the planned change managerial approach and to stimulate use of the mechanisms of planned change within American colleges and universities.

Action Planning on the Campus

Part I
The Concept

1: Introduction

The assumption has been made that what American higher education needs most is more action on the obvious and less reflection on the obscure. Additional research on planned change activities certainly is necessary, but the lack of knowledge is not the controlling factor in higher education. Principles of organizational development are not new. Most administrators are familiar with those words, such as flow chart, force field analysis, and management by objective, which signal the managerial perspective. What is needed is to relate these established principles with the functioning and structure of colleges and universities, which this section attempts to do. Learning "how to" use the insights already available, creating a linkage between what is known and what can be acted upon, is the crucial issue.

Theories of planned change and organizational development are necessary to the development of effective campus action planning. The theories are the conceptual underpinnings of the action programs that are suggested in Part II. "What is," and "what could," are thereby used as a guide to explain "how to."

Action Planning is not concerned with the specific programmatic goals desired by particular individuals at given institutions. Ascertaining whether it is desirable or feasible for particular colleges and universities to add professional programs, stress the liberal arts, or alter their credit or grading systems, is the job of those who live and work there. Theories of organizational development are not addressed to solving these particular issues, but are related to the following kinds of issues.

- How can presidents, vice presidents, deans and chairmen periodically inspect the nature of their institution and thereby complete an elementary self-study, outlining what is, what should be, and what can be? For example: What is it we wish to attain and on what time-table? What are the symptoms of openness and trust in the organization versus the signs of destructive competition and secrecy? What events or programs, either internal or external to the college, could have been anticipated and planned for in advance? How can staff and committee meetings be improved to share more information and to design follow-through formats for implementation?
- How does one design a planned change approach to these problems of management within higher education? How is the planning process conceptualized, who is involved, how does it get started?
- What are the specific techniques that can be used to facilitate implementation of the planned change approach to management in higher education? What are the concrete tools and activities that can be used to foster the growth of planning within the institution? How are planning actions coordinated, monitored, and then evaluated?
- What are the values and reward structures that encourage people to base their actions on clearly-defined goals and objectives? How does the process develop in people a feeling of ownership for and thus a stake in the continuance and perfection of institutional goals and objectives?
- How does one insure that the planning process will become a systematic, recurring and self-perfecting process? How does the planned approach to management, and the values and activities it involves, become diffused, adopted and internalized throughout the organization? How does planning become the operative management style?

It is resolution of the broader issues—the linkage between management principles and higher education—upon which the specific issues can be resolved efficiently.

The planned change approach to university management is not easy. It cannot be achieved quickly. It cannot be coordinated with dispatch. Moreover it is not a gimmick, consisting merely of a few retreats, workshops, forms and deadlines. Rather planning is a complex and time-consuming process, involving a comprehensive campaign to affect the style, the operations, the values, and the decision-making processes of the institution. It can provide an institution with the adaptive-responsive antennae needed to understand and direct its short- and long-range activities. It aims to create a system of integrated management based on broad participation. It proposes that an institution marshal its human and financial resources in order to attain its individual and collective images of the future.

2: Preparing for the Planning Process

The president of an institution should personally possess, or have access to, three types of general skills and abilities, if he or she is to prepare effectively for the planning process and thereafter coordinate the process of change.

The first is the ability to *comprehend*. The ability to understand, in the case of planning, involves knowing enough about planning to be able to conceptualize the issue, identify the components of the planning process, and sketch out a tentative program of activity. The ability to understand planning also involves gaining a good deal of knowledge about the history of the institution, its present strengths and weaknesses, and what people want the institution to be.

The second ability is that of *realization*. Realization, for the planning purposes, involves living with such realities as the fear of the unknown, the disparity between people's intentions and their behavior, and the myth of perfection. Such realizations are not dependent on new information so much as they demand a hard-nosed assessment of and a facing up to personal, group and organizational patterns. Knowing one's own values and goals as well as the motivations of others is an important factor. Most important is the realization that planning, or what Seymour Sarason calls "the creation of a setting," is "a fantastically complicated social process containing one booby trap after another." Failure to absorb and live this reality is the major reason why so many planning efforts are abandoned or collapse (Sarason, 1972, pp. 243 and 203).

The third ability, the skill of *"how to" do* certain things, is not dependent solely upon receiving new units of information, or on a realistic evaluation of your setting. It also involves experiencing something through hands-on personal activity. Learning "how to" manage the process of change involves learning how to design and coordinate the specific activities that will enable the administrator and the organization to attain the desired goals. To want to plan is not enough. Good intentions, or euphoria, or great interest, or dogged determination may be necessary, but they are no more sufficient for organizational success than they are for marital success. It also takes know-how, an ability to coordinate today's interactions in concert with the longer-range goals and commitments.

Effective management of the planned change process thus necessitates that the president and subsequently as many people in the organization as possible, *know* a great deal about the concept of planning, the components of the planning process, and the history and present operations of the institution. It also demands that they come to a *realization* of the state of the politics of the institution, the dynamics of short honeymoons, the arduous process of change, and the interplay between personal, group and organizational patterns. The capability to design, implement and evaluate specific change activities also is dependent upon the presence of *"how to"* expertise. To be prepared with both data and concepts, to be realistic, and to know "how to" design and implement the specific change projects, are the keys to forming a framework of the management of change.

It should be clear, even at this early juncture, that the planning process is not simplistic. It is not simply a PERT chart, or a management information system, or a goal-setting technique, or programmed budgeting, although these mechanisms and technologies do play an important role in an effective planning effort. And it is not synonymous with a particular product of the planning process, such as a one-year plan or a five-year plan, or a ten-year plan, although the process does converge on the production and updating of such "things" as written plans.

Planning fundamentally is a campaign to move an organization towards its image of the future, on a timetable that is both desirable and feasible. It takes an organization to move an organization. It involves people marshalling their skills, abilities and planning technologies in order to design, implement and evaluate systematic efforts to achieve their goals. It involves gathering information, diagnosing and dealing with the realities of one's personal and organizational setting, and learning "how to" use the tools, and technologies and the products of planning. It is a big task, but an essential and unavoidable one.

3: The Need to Plan

Planning for the future, anticipating what one wants and organizing to get there, is both helpful and essential. Our colleges and universities need to plan not only to be effective and efficient learning communities, and to be more responsive to society's educational needs, but also to remain viable institutions in an increasingly dynamic world.

We live in a world of constant flux. Our turbulent environment has created enormous incentives for persons and organizations to perfect their abilities to implement organized planning activities. Without the means to control one's own destiny, to attain deliberately and clearly-defined goals, individuals and organizations are at the mercy of societal changes, the will of authority figures, and the pressure of organized interest groups.

Universities and colleges, like all other units in society, are not stationary. Both their internal workings and the general environment in which they must operate continue to evolve. The growth and development of the faculty and staff is usually in flux. The needs and interests of students seem to change every two to three years. The curricular and co-curricular programs needed to respond to the interests of the students, staff, faculty and the community-at-large change constantly. Funding levels, federal financial aid programs, the state of the economy, the inputs from the community, the political movements, all have their effects on the mood, hopes, aspirations and workings of higher education.

The point at which change in higher education is discussed does not start at a stationary point but only at a particular, and relatively arbitrary point in time, a point from which to compare the present direction and pace of change. It is clear, wrote Kurt Lewin, "that by a state of no social change we do not refer to a stationary but to a quasi-stationary equilibrium; that is to say a state comparable to that of a river which flows with a given velocity in a given direction during a certain interval. A social change is comparable to a change in the velocity or direction of that river" (Kurt Lewin, 1958, p. 208).

The question, then, is "not if, but how, higher education will change" (National Laboratory for Higher Education, p. 1). The choice really is between "change by design or change by default" (Kreitlow and MacNeil).

Colleges and universities have as their reason for existence the response to the public's educational needs and interests. This creates both legal and moral obligations to respond to the changing nature of these concerns. Periodic reminders arrive in the form of taxpayer inquiries into the money spent for higher education, student grumblings over the rising tuition rates, legislative concerns for accountability and program budgeting, and federal, state and local agency promptings to link college education with job market demands for professional and vocational training.

The focus then is on feedback mechanisms. There are two kinds: those needed to enable a college to discern what the public wants and what society needs; and those needed by a college to communicate information back to its publics on how effective it has been in meeting their needs and interests. This two-way communication process amounts to a planning process. It involves the setting of goals to be responsive to public interests. Guidelines for anticipating the future demand for educational services are attained through survey research, which updates the map of what the public needs; and analytic antennae of various sorts, which anticipate the political, economic and social structures of the future. Evaluation of university performance is next, involving an assessment of how effectively an institution has responded, and how effectively it has moved to anticipate and respond to the future needs and interests of those living in the immediate environs, the state, the region, or the nation.

The planning perspective and the planning approach make it possible for colleges and universities to become not only more responsive but also more efficient, effective and productive. Planning for the future, and acting on those clearly defined objectives, is a way of thinking and acting that will enable a university to manage the development of the organization in a way that is not possible through the present disjointed, incremental, and ad hoc approaches to university administration. Fred Hechinger has observed that "a parallel exists between some aspects of the railroad industry and higher education. In the face of new competition and new public tastes, the universities, like the railroads after their golden era, are now 'burdened by old mentalities' " (New York Times, December 18, 1973).

Those "old mentalities" or the traditional means of handling and managing change, are manifest in various combinations on most campuses. The first approach is "the process of following long established professional procedures, involving rigidly structured committees, usually dominated by faculty with limited input from other groups" (National Laboratory of Higher Education, p. 2). It is slow, and painful, with only narrow participation, involving neither goal-setting or a sys-

tematic effort to coordinate activities. And it certainly is not anticipatory.

Second, there is the type of administration of change which comes about through the willpower of "authoritarian leaders:" the president, the dean, the trustees, who "know what's best," who sense instinctively what paths should be followed. This decision-making style is based on intuitive insights and rationalizations, or unexamined assumptions of only a few in-group authority figures. It is myopic in perspective; it is non-participatory; and facilitates little commitment by others to its goals and objectives.

Third, there is the campus that responds only to external pressures, usually keyed to the availability of additional funding or the threat of budget cuts. Colleges and universities, insofar as they have been all too willing to be led by the fleeting political promptings of state and federal legislatures, have allowed themselves to be opportunistic only about the present, rather than anticipatory and systematic in responding to longer-range needs.

Fourth, on-campus crisis has been another prod for change. Student activism, the emergence of minority groups, unionization of university personnel including the faculty, and the ebb and flow of manpower needs necessitating the creation of new programs, have emerged and dissipated on two-to-three year cycles. University responses to those immediate crises has placed a high premium on ad hoc programs needed to mollify the influence of a particular interest group. There is no design or follow-through; one crisis is solved or allowed to disintegrate by shifting the response to the over-arching demands of the newer crisis. The institution thinks of only one thing at a time, the latest crisis, and insures (not unwittingly) that the "crisis" does not affect its core values and patterns of behavior. The result is to solidify the influence of a relatively non-responsive in-group.

None of these traditional means of university management is noted for its willingness or ability to collect information and complete an elementary diagnosis of the nature of the issue. None of these models is devoted to the principle of broad participation in setting goals and objectives, or to the coordination of day-to-day activities with objectives, or to the evaluation of those activities in terms of productivity or effectiveness. Certainly none of the traditional approaches is known for a high degree of participation and commitment. These disjointed, befuddled, opportunistic and defensive responses have focused on the immediate issues without an awareness or a concern for longer range goals and objectives. In short, the competition of one person's intuition with another person's hunch, can hardly produce the wide-ranging images of and options for the future that emerge from group participation, hard-nosed analysis, and painstaking coordination and assessment.

The rush of events on a day-to-day basis can easily out-compete any managerial approach which attempts to nurture a longer-range perspective simply on a piecemeal basis. Planning has been thought of and attempted at many institutions. Most of those efforts, although well-intentioned and involving personal promise and commitment, have dissipated into failures because they were not institutionalized into each person's work day, they were not supported by the culture of systematic efforts throughout the institution.

Despite their best intentions, most persons in colleges and universities, because of the absence of a planning perspective, are "so overwhelmed by the problem of doing things that they have little time left to think about what they are doing. Operations dominate purposes." This had led, in James Reston's words, to a "confusion of purpose," to a problem "not of operations but of objectives" (Reston, 1966).

"Most of us," writes Ralph Van Dusseldorp, "can make reasonably effective decisions if we are given adequate decision time, sufficient contact with the situation, and the time necessary for contemplation. Typically, the administrator does not operate in this kind of milieu. He is forced by day-to-day imperatives of managing a university to make decisions in something less than an ideal context" (Van Dusseldorp, 1969, p. 41).

Without systematic, deliberative and strategic planning, the vicious cycle of pillar-to-post is the only response possible. The planning approach allows larger- and longer-range objectives to compete with the day-to-day demands of administering a university, and eventually even to guide and organize that flood of activity.

The varied and unrelenting pressures for universities to modify their curricula, report data in various forms to legislative committees, and account for the uses of staff time and state appropriations, are just a few of the tens of items that form the vicious cycle of the non-planning approach to university management. Constantly universities are asked to both anticipate and report. It is extremely difficult if not impossible to meet those requests if they arrive only a few days or weeks before the report is due.

The ever-greater demand by legislators that universities produce assessments of productivity and effectiveness are tantamount to requesting that the university institute a planning process. These same signs appear in the popularity of state planning and coordinating agencies, in the requests of boards of trustees who want answers to such questions as, what are your goals? and

how do you demonstrate progress toward meeting those goals? (Bennis, 1973, p. 84). The actions of accrediting associations to insure systematic planning based on sophisticated data about student performance and the educational processes reflects the same phenomenon. For example, the new *Interim Evaluation Guide for Institutional Assessment* issued by the North Central Association of Colleges and Secondary Schools (October, 1973), places heavy emphasis on "institutional objectives," "evaluation of achievement" in relation to those objectives, and "arrangements for planning, that is, arrangements for insuring the continuing effectiveness of the institution as it modifies its activities in the light of emerging and changing needs" (North Central pp. 3, 6, and 17).

The Carnegie Commission, among others, has warned of the surplus of college degrees relative to available job markets and implicitly requested long-range planning for greater coordination between college education and the labor market (Carnegie, 1973). Applicants for various federal grants are being asked to show or prove the applicability of the grant proposal to the job prospects of those involved or affected.

A survey of state colleges and universities recently completed by the American Association of State Colleges and Universities, showed that the "proportion of state colleges and universities experiencing minimal or no financial difficulty is diminishing, while a proportion experiencing critical and severe problems is on the rise." About two-thirds of the Association's member institutions faced moderate or worsening financial problems during 1972-73, the survey found, and about three-fourths expected to feel the pinch (The American Association of State Colleges and Universities, 1973). The Carnegie Commission has warned that American colleges and universities may have entered "a state of steady erosion" or at best one of "fragile stability" (Cheit, 1973). This, of course, could mean that faculty and staff will have to work for proportionately less pay, handle larger numbers of students, and spend an increasing amount of time in actual classroom activities. Whether non-planning approaches are adequate to handle the problems of falling enrollments, financial plight and the resultant impact on the very structures of higher education, remain to be seen.

If colleges and universities are to meet these requests or demands to anticipate, map out goals, coordinate present activities, and respond to and manage the future, then they will have to commence systematic efforts at long range planning. The moulding of a responsive curriculum entails advance work. It involves obtaining inputs from and giving feedback to the many components of the academic and the off-campus community. It also involves a study of the demographic characteristics of the student body; an analysis of the demographic characteristics of the populations now and potentially served by the college; and the completion of impact studies which attempt to understand the ripple effect of one change or innovation on the other components of the university system.

The same cycle of study, goal setting, coordination of efforts, and evaluation, is involved in any concerted and effective university response, whether it be the needs of accountability and cost effectiveness, the concerns for equal opportunity and affirmative action programs, the emergence of new requests related to new student life styles, or the shortage of resources and the diminishment of enrollments. There probably is not an issue or problem of the university that does not need the attention of the planning perspective. And these issues or problems are not discrete units, they are all interdependent, generating an ever greater need for coordination of the university's diagnostic, goal setting, coordination and evaluation activities.

The growth of higher education in America, in terms of enrollments, the multiplication of programs, the numbers of persons employed, and the dollars spent, has transformed the college and the university into a complex organism. Complexity has brought with it greater specialization in role and differentiation in task. Thus colleges and universities now face the problems that have long beset industrial organizations. How does one integrate different or specialized roles and tasks and jobs into cumulative efforts which are mutually supportive? How, for example, does one integrate the differentiated functions of an admissions staff concerned with marketing today's programs, with the perspective of a research staff which is interested primarily in analyzing longer range issues? (See Lawrence and Lorsch, 1967). Complexity, or such personnel diversifications, make it increasingly difficult for universities to coordinate their activities without the inclusion of input from both admissions and research, and without the knowledge of both that each is working from its own vantage point to contribute to similar goals and objectives.

Without the knowledge of common goals, energies diverge rather than converge, and individual departments have reason to believe that their differentiated tasks mean that they are truly distinct, separate and unique, having a right to function by their own rules, regulations and objectives. The emergence of such a plate of marbles, in which the only thing one university staff member has in common with another is "the parking lot" (Kerr, 1963), can only lead to the unconscious

politics of mutual frustration. Planning, in contrast, is a tool for coordinating diverse tasks into an organized, integrated, mutually-supporting whole.

The planned change approach, with its pre-announced norm of wide participation, and creating communication channels for feedback and feedback on feedback, offers one of the few opportunities complex organizations have for making decisions about alternative futures. Colleges and universities can be responsive, but the key question is, to whom do they respond? There are so many internal and external elements of the university, each of which hopes the university will be responsive to them, that the resultant partial or selective responsiveness, especially if it is disguised, has a way of discouraging inclusion or cooperation, and thereafter generating hostility from those who perceive they have been left out.

The university can be responsive to many groups and obtain from them a real sense of commitment to and ownership of both the process and the products of planning, if certain conditions are met. Everyone must be aware of the multiple inputs. All groups must be given an opportunity to affect the overall goals of the institution. However, all groups must be made aware of the need to judge, and then to select and rank only some options. Even then people should be encouraged to adopt their own specific objectives, methods and activities, thus enabling them to support attainment of the general goals but in their own unique or differentiated ways.

This approach also would enable the university to avoid enslavement to authoriative statements, whether they be from legislatures, the president or the board of trustees. The fragmentation of opportunism, fire-fighting and administration-by-convenience also would be minimized.

Last, but perhaps first in significance, the planning approach is also a model for the teaching-learning process. Behavior is indeed a vocabulary. The university system or culture is as pedagogical as anything that could conceivably happen in a formal classroom. Thus if it were to adopt an approach which was diagnostic, analytic, participative, coordinated, and based on feedback and reactions to that feedback, all completed so that a community of persons could respond to and manage the process of change as a moving target, then the university system would be "teaching" such integrated viewpoints and habits in its students as well. If we wish students to anticipate, deliberate, plan, evaluate, and coordinate their activities, then the university should take seriously its role as a pedagogical system.

4: Principles of Planning

Ten principles for planning in higher education emerge from the literature and the experience of planned change and organization development. These principles form the perspective of the planning approach. They are more than theoretical; they are embedded in the actual experience of planning and will be alluded to as specific action programs are outlined.

Planning involves deliberate planned actions to attain one's goals and objectives. Many favorable events may occur which unpredictably or luckily aid in the attainment of goals and objectives. But a systems-wide, organized approach to the management of change cannot rely on occasional chance occurrences. For planning to be effective it must involve clearly-defined goals and objectives; specific planned actions in order to attain those goals and objectives; and a set of tactics or strategies deliberately designed to coordinate the direction and timing of action programs (Lippitt, 1958).

Planning involves a systems approach, an attempt to understand and effect the totality of the institution. The college or university must be looked upon as an ecology, a complex organism involving many persons and events and structures. A change in one of those components can have negative or positive effects upon the functioning of other components. Therefore, no one element in such an organizational setting can be altered or impacted upon without an assessment of the potential ripple-effect on other components of the system.

Planning is dependent on people working together collaboratively. The engine of planning is in its people, in the way they interact as individuals and as groups, in the way in which persons go about their work, in the sensitivities and interpersonal competencies of everyone from the president to the janitor, in the spirit of openness and cooperation that should characterize the culture of a planning institution.

Planning involves wide participation. The persons involved or affected by the goals and objectives of the institution or of a given department, must be involved in setting up or influencing these goals and objectives. Without the participation that creates commitment, without a wide-spread feeling of ownership of both the process and the products of planning, such change activities can easily be undercut by passivity, uncooperativeness or a lack of creative enthusiasm. Planning involves facilitating the inclusion of persons in the determination of their organizational life. The lifeblood of that process is dependent upon the goodwill, the verve, and the commitment of persons throughout the organization.

Planning must deal with and overcome "social habit," that "kind of inertia which requires a sufficient input of energy before movement can take place" (Foster, p. 531). The implications for the design, management and coordination of a planning process at a university are clear: those involved in planning must have sufficient reserves in energy, people contacts and tools and techniques "so as to be able to apply a sufficient critical mass" at the appropriate time. Only this amassing of energy and resources and support will eventually prod or pull people out of the routine habit. Those involved in planning must also maintain psychic stamina, for it is through perserverance and keeping one's nerve that the effort is sustained long enough to surmount the initial period of relatively little progress.

An organization is not easy to change nor is it easy to plot or quantify the changes while they are in process. Sarason (1972, pp. 190-191) notes that many people think of a planning situation the way they depict "the role of the artist who chooses his materials, fashions and refashions it, and ends up with the concrete embodiment of his ideas and efforts." Organizational life is assumed to be like the canvas: it is passive, can be changed with a stroke of the brush, and waits to be created or contoured by the planners.

Others often expect an account of planning to be similar to the description of a baseball game. One should be able to know who is playing who, who is at bat, who is pitching, who has jurisdiction over first base, who is the leader and who are the players, and what the score is at any particular time. The complexity of organizational life, however, involving its people sub-systems, its technological sub-systems, its programmatic subsystems, all of which have ingrained histories and traditions, simply does not create conditions which can be easily changed or readily described.

Uncertainty and ambiguity is a way of life in the planning process. Planning is not intended to eliminate uncertainties but rather to wrestle with them, to clarify some portions, and perhaps momentarily, eliminate some as unimportant or at least not controlling. Involvement in the planning process thus necessitates a high tolerance for ambiguity and an ability to live with uncertainty, the "content" of which is subject to change without notice (Michael, 1973, Chapter 5).

Planning is concerned with setting realistic images of the future. It does not base action programs on unrealistic, fantasized, wish-lists of the future; nor does it base goals on the predicted inevitability of the future, nor

does it find its basis in a simple straight-line extrapolation into the future. It combines what Robert Fox, et al, have called "images of potentiality" (Fox, Lippitt, and Schindler-Rainman, 1973), or realistic images of where one desires to go, as conditioned both by an assessment of the past and the present, as well as by the extrapolations, forecasts and predictions into the future. "With objectives as with traveling," writes Paul Dressell (1961, p. 13), "it must be recognized that one has freedom of choice to go where he will only if he chooses to go where he can." Realistic planning involves dividing one's desired outcomes by the feasibility of attaining those outcomes.

Planning is fundamentally a perspective, an approach to management; it is a process by which one learns about one's organization and slowly but continually plans and implements actions to bring about the images desired. What is constant is the process, the process of goal-setting, participation, analysis, deliberately embraced activities, and evaluation. The plan, whether it be a one- or three- or ten-year plan, is in constant state of update or renewal in correspondence to (a) the range and intensity of turmoil in the general environment, (b) the internal change inputs regarding goals and objectives, and (c) the outcomes of the last cycle of coordination and evaluation. Specific plans are the products of these complex processes and thus are constantly recontoured by them.

The approach to planning proposed here is not that of the social engineer who attempts to move rivers, level mountains, and restructure societies in accordance with an unchanging plan. It is not "a thing, a dogma, or a rigid program" (Michael, 1973, p. 48). "The central goal of planning," writes A. Kahn (1969, p. 62), "is not a blueprint but a set of generalized guides to future decisions and actions." Plans for social institutions are set in ice, not concrete. They unfreeze, are remolded, and freeze again, as changing conditions warrant. What is continual is the learning process of renewal: of how to think in long-range terms; how to analyze an organization as a system, a totality, an ecology; how to coordinate detailed strategic actions, with specific annual objectives, with over-arching goals. Planning is not a plan, but fundamentally a self-renewing process of learning, a viewpoint from which one learns how to manage change within an organization involving complex sets of human and technological inputs. It is primarily a process designed to "facilitate learning how to change" in ways that make us responsive to the future (Michael, 1973, p. 154).

Planning is systemic, a perspective which affects the total organization. Its goal is to change the culture or values of an organization—from ad-hocary to the longer range perspective, from the mechanistic to the humanistic approach. Universities, like other organizations, operate in certain ways because we have created them that way. The planning approach is an attempt to create a new "social reality" which involves a legitimation of the longer-range approach and the norm of interpersonal cooperation (Michael, 1973, pp. 31 and 37).

The systemic perspective accepts incremental progress as a means to an end, but not an end in itself. Isolated and incremental changes form the units of systemic change, but they do not amount to the goal of planning. Begging off too soon, living with only that which is possible at the moment, lowering one's standards to fit the possibilities of the day, wishing for only increments rather than embracing incremental progress as part of a total design, are attitudes that make a virtue of piecemeal, disjointed, and ad hoc responses. Only if increments of change are part of a designed program of changes affecting the system, only if they are designed and acknowledged to be building-blocks for a larger purpose, then and only then are they part of the decision-making approach of planned change.

10000

5: Planning as Organization Development

The planned change model proposed here involves many of the principles and techniques of organization development (OD), that set of perspectives and techniques concerned with "the whole human side of organizational life" (NTL, 1968). It is concerned with how to release human potential; how to get people motivated to want to plan; how to get people committed to action programs; and how to mold an organization of high morale, high productivity, and high efficiency. Conceptually it is simple, but operationally it is a very sophisticated process of human interaction concerned with changing an "organization's culture from one that avoids an examination of social processes (especially decision making, planning, and communication) to one which institutionalizes and legitimates this examination." Its goal is to change the standards, structures and procedures which regulate group or organizational behavior. In so doing, the new "culture" of the organization induces individual behavior to change "to conform" to the new set of norms (Burke and Hornstein, 1972, page xi).

The National Training Laboratories explains that the OD approach attempts "to integrate individual needs for growth and development with organizational goals and objectives in order to make a more effective organization." The behavioral science principles that form the basis for OD are:

- Work which is organized to meet people's needs as well as to achieve organizational requirements tends to produce the highest productivity and quality of production.
- Individuals whose basic needs are taken care of do not seek a soft and secure environment. They are interested in work, challenge, and responsibility. They expect recognition and satisfying interpersonal relations.
- People have a drive toward growth and self-realization.
- Persons in groups which go through a managed process of increasing openness about both positive and negative feelings develop a strong identification with the goals of the group and its members. The group becomes increasingly capable of dealing constructively with potentially disruptive issues.
- Personal growth is facilitated by a relationship which is honest, caring, and non-manipulative.
- Positive change flows naturally from groups which feel a common identification and an ability to influence their environment (NTL, 1968).

Building on these principles, OD "begins with a process of diagnosing the roadblocks which prevent the release of human potential within the organization." The issue is diagnosed after gathering data through observation, interviews and surveys. Once issues or problems are identified, then the appropriate "interventions" in the client-system are formulated. Such interventions may take the form of (1) team-building activities, analyzing the processes a group uses to build an agenda, or how it organizes to complete a task, or how it makes decisions; (2) managing conflict in groups and removing the obstacles to collaboration; (3) working through such technical or structural changes as communication, work flow, and hierarchical patterns; (4) helping an organization to gather, analyze and use feedback data about its own operations; (5) training organization members in leadership and group process skills; and (6) a host of other interventions like management by objectives and job enrichment (Burke and Hornstein, 1972, Introductory Chapter).

The objectives of such OD interventions are:

- To create an open, problem-solving climate throughout the organization.
- To supplement the authority associated with role or status with the authority of knowledge and competence.
- To locate decision-making and problem-solving responsibilities as close to the information sources as possible.
- To build trust among individuals and groups throughout the organization.
- To make competition more relevant to work goals and to maximize collaborative efforts.
- To develop a reward system which recognizes both the achievement of the organization's mission (profits or service) and organizatoinal development (growth of people).
- To increase the sense of 'ownership' of organization objectives throughout the work force.
- To help managers to manage according to relevant objectives rather than according to 'past practices' or according to objectives which do not make sense for one's area of responsibility.
- To increase self-control and self-direction for people within the organization (NTL, 1968).

OD attempts to legitimize the expression of human feelings, and to assist all persons in the organization to increase their interpersonal skills in tapping and coordinating human potential. The approach is not only democratic, but productive. The evidence shows that an environment which rewards interpersonal skills and collaboration has direct effects on improving output and

quality (Seashore and Bowers, 1972, pp. 328-40). A host of social scientists have amassed evidence demonstrating that both morale and the effectiveness of decisions increase as individuals participate directly in the decisions that relate to work (Lewin, 1958, and Bennis and Schein, 1969).

This accent on the "people system" of an organization and the related principles of interpersonal relations, does not negate the importance of the technical and structural aspects of an organization. But an organization is fundamentally person-driven; all of its tools, mechanisms, machinery, information, decisions and plans, evolve from, are affected by, and are related to the personal or human element in the organization.

H. Ozbekhan (1969, page 118) has summarized the contrast between the traditional, mechanistic or social engineering concept of management, and the human action model of organizational development.

Mechanistic Model	*Human Action Model*
Goals given from outside.	Selects values, invents objectives, defines goals.
Designed to solve specific class of problems.	Seeks norms, defines purpose.
Internal organization independent of purpose.	Higher order organization defined by purpose.
Controlled by external policy.	Self-regulating and self-adaptive.
Programmed actions toward given outcome.	Regulation of steady-state dynamic through change and governance of a meta-system's self-adaptive and self-regulatory tendencies, through policy formation.

The differences in the two models are significant because "planning" is often associated with mechanistic models which ignore the human factor in organizational life. And it is exactly that factor which, according to D. Ewing (1969, page 42), accounts for the high failure rate of mechanistic planning: "Planning has gone wrong because it has been defined too often in terms of economic analysis, production capacity projections, distributions schedules, acquisition formulas, forecast of demand, and other bloodless criteria—in these terms almost to the exclusion of the 'people' aspects. As a result, there has been a tendency for the art and knowledge of planning to proceed in one direction while the art of management and leadership has proceeded in another."

The OD approach, as part of the fabric of the planned change process, thus raises fundamental questions: How do organizations develop the responsive mechanisms needed for attaining the goal of participative management? How does an organization develop the instruments needed to perfect the interpersonal competence of its employees? How does an organization provide "an instrument whereby these normative goals and revisions could be translated into practice"? (Bennis and Schein, 1969, p. 337). Action programs designed to nurture a humanistic philosophy of management, will be dealt with throughout this book. It is sufficient now, however, to emphasize the role of human resources in organizational development and to identify it as one of the integral components of the planning approach proposed here.

6: Phases of Planning

There are several phases to the planning process. They are isolated here for the sake of simplicity although each portion should be viewed as part of a continuous, inter-dependent, systematic and cumulative process.

Kurt Lewin, in his pioneering analysis of the process of change in individual and group performance, suggested that the planning process had three general stages: "unfreezing . . . the present level, moving to the new level, and freezing group life on the new level" (1947, p. 34). An individual, a group, or an organization has to be released from the inertia of present patterns through the unfreezing process, moved to a new or a different level of operation, and then have that new stage solidified or institutionalized in the life of the individual or organization.

Lippitt et al (1958, p. 10) give a similar interpretation, emphasizing that "all dynamic systems reveal a continuous process of change—adaptation, adjustment, reorganization." Responding either to its own images of the future or to the imperatives of a changing or turbulent environment, the organism (whether it be individual or institutional) adapts, it changes. The process of adaptation is followed by an adjustment to the new reality, which in turn leads to a finalization of the process through a reorganization of the patterns of adapting. The insights of Lewin and Lippitt suggest a framework for the planning process, within which more specific phases of the planning process can be delineated.

The phases of the planning process are the means by which the "products" of planning or the components of a "plan" emerge. Goal setting, for example, is a process; institutional goals and divisional goals are specific outcomes of that process. The remainder of this section will deal with the phases of the process of planning (See Figure 1, "The Cyclical Phases of Planning").

Diagnosis

Any planning process involves the need to define the nature of the issue or problem, to complete an elemental diagnosis of the nature of the organism—its motivations, its effectiveness, the attributes of its behavior. Such a diagnosis, completed either internally and/or with the aid of an external consultant, allows an organization to become consciously aware of its own behavior, to hold up a mirror to examine its own behavior. An organization thus is treated as a datum, something that can be studied and analyzed.

Whether this process is called a diagnosis, a self-examination, a self-survey, or the scanning of behavior, it amounts to the same thing: to identify, collate, and transmit information about the operation of organization so that it can first, understand its behavior (see Lippitt, 1958, pp. 104-105; and Foster, p. 541); second, diagnose its "state of cultural readiness" for the planning process (Bennis and Schein, 1969, p. 356); and, third, identify issues and problems for further exploration.

A diagnosis should occur not only at the initial phases of planning, but should be repeated periodically during the planning cycle, to ferret out real and potential problems and opportunities. (See Jung, 1966, p. 3.)

The tools of diagnosis include (1) observation, interviews and surveys, which produce information needed to understand the human processes in organization development; and (2) data-gathering, reporting, research, and management information systems needed to understand the institution's tasks, operations, and structures.

The first set of analytic tools will give information on the social processes of the organization, such as how the persons and groups communicate, make decisions, and handle conflicts. The second set will yield information about the functioning of the university's structural operations, such as enrollments, the history of budgetary allocations, salary rates, and the comparative use of such university services as the library and the computer center.

Goal Setting

Once the initial diagnosis is complete, once the university has scanned itself, once it has gathered and collated information about both its social processes and its formal operations, then the university is ready for the goal setting phase.

Normally five different types of input are weighed during the goal setting process. (See Figure 2, "Inputs in Goal-Setting.") It is natural, for example, for persons to consider:

- Their fantasized views of what the institution ought to be doing, based on idealistic standards, individual wish-lists, or personal preferences and desires. These fantasies need not have any relationship to any of the other types of inputs noted below, namely the present context, or its realistic potentialities, or trends, or probabilities, or educated predictions (see items b, c, d and e).
- Their realistic images of the future, their desires of where they would like their institution or individual department to be in one or five or ten years. Such images would be grounded in an understanding and an

706 117

acceptance of both the forces in the present system which can facilitate or which can obstruct the attainment of those images. The accent would be on activating present latent potentialities in the future.

- The extrapolations of the present patterns into the future, assumed or documented, which would allow persons to understand what a straight line continuance of the present patterns would look like in the future.
- The forecast of the future patterns or events, which would depend on an assessment of the "probability" of certain internal and external social forces (such as economic trends in the world at large, or the changes in student curricular interests) being influential or controlling in the future. The inputs from such futuristic thinking would be based on an analysis of trends, plus an assumption of some alteration in those patterns by forces not now controlling.
- The predictions about the controlling events and forces in an admittedly very "unknowable" future, as based upon highly intuitive, or "educated guesses" about the future.

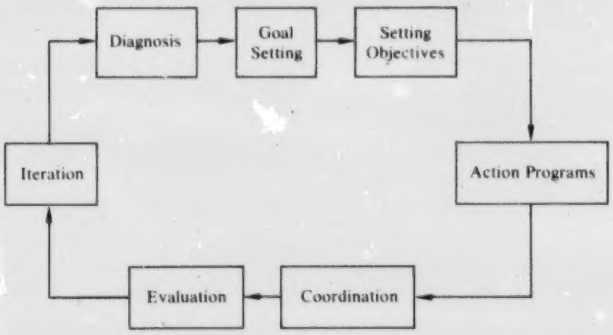
All five of these inputs would, of course, incorporate references to persons, events and forces which could be both internal and external to the university. Thus enrollment patterns of the students, or present and future contractual obligations relating to facilities or to personnel, could be introduced as images or descriptions of the university's internal environment. Market research on the needs of prospective students, the parameters set by state and federal budget bureaus and other governmental agencies, and the social or political changes in the world at large, all would be examples of factors from the external environment. Any or all of the five types of inputs noted above likely would contain either descriptions or assessments of the significance of both these internal and external factors.

Realistic goal setting, then, is likely to be a combination of idealized fantasies, images of potentiality, extrapolated understandings about the future, "probable" forecasts, and intuitive predictions about what could be the controlling variables in the future. As a result, the goal setting process is likely to produce goals which are neither overly idealistic or simply grounded in the inevitability of linear projections from the present. Such goals probably would not be confined to the internal workings of the university but also would weigh the events or factors which do or are likely to impinge upon the university from the external world.

The Setting of Objectives

General goal statements then must be reduced to specific, normally one-year, statements of objectives.

Figure 1
The Cyclical Phases of Planning



These objectives are concrete explanations of how and when one intends to take certain identifiable steps to attain the ends or goals outlined. The statements of objectives, above all, must be measurable, that is stated in terms of specific events or activities that should be in effect if the objectives are completed and the goal attained.

Action Programs

Once the objectives have been agreed to, then the various persons or components of the university must actually undertake concrete, specific action programs, as guided by a strategy of what should be implemented when, and by whom.

Coordination

Since planning is an organized effort to attain realistic goals, and since it involves a total organizational response involving the efforts and activities of many persons in many departments with many different perspectives (i.e., the difference between the marketing approach of admissions and the longer term perspective of a research office), those complex and diverse efforts need to be coordinated to insure their convergence. Duplication of effort has to be controlled, gaps have to be spotted and rectified, synchronization of effort for mutual and cumulative impact needs to be monitored. The goals and objectives constantly have to be resurrected, clarified, and internalized throughout the organization so that disparate, ad hoc and irrelevant activities do not inadvertently steer the university off course.

Evaluation

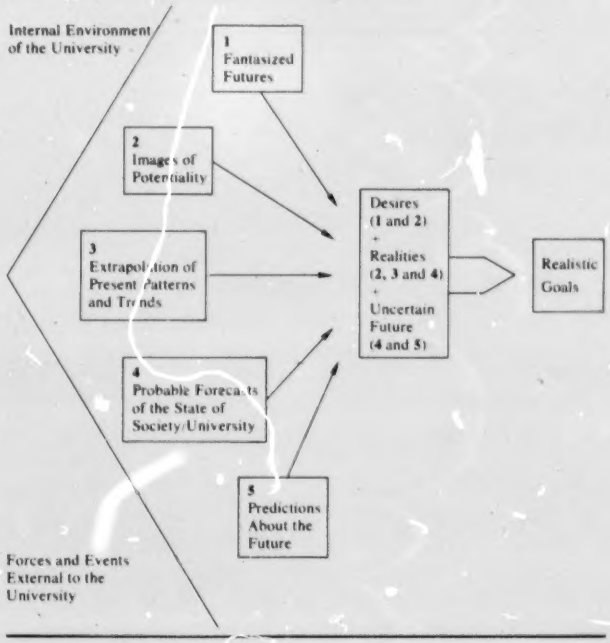
An assessment of the results of the planning process should occur at least once a year. This guarantees feedback about the planning operation. Were the goals

clearly defined? Were the objectives outlined in measurable terms? Were the plans overly ambitious, or confined to extrapolations from past traditions? Were the goals and the objectives really integrated? Were the efforts to coordinate the myriad activities of the organization effective? All of the attributes of planning, from the diagnostic to the implementation and coordination stages, should be evaluated continuously throughout the planning process, as well as at the end of each yearly cycle.

Iteration

Repetition or recycling of the process should occur continuously. The cycle of diagnosis, goal setting, drawing up objectives, coordination and evaluation should become part of a continuous organic process to insure constant adaptation of the organization, both to its ever-perfecting images of the future and to its need to anticipate new turbulence in the general environment. After a while these phases become only changing emphases within one process rather than discrete segments. Once the planning approach becomes the style of management at the institution, the process of planning becomes synonymous with the process of management and no difference can or should be made between them.

Figure 2
Inputs in Goal-Setting


Internal Environment of the University
1 Fantasized Futures
2 Images of Potentiality
3 Extrapolation of Present Patterns and Trends
4 Probable Forecasts of the State of Society/University
5 Predictions About the Future
Desires (1 and 2) + Realities (2, 3 and 4) + Uncertain Future (4 and 5)
Realistic Goals
Forces and Events External to the University

7: Elements of a 'Plan'

Planning includes the development of interim "products" or "plans." These plans are one of the most visible and tangible results of the planning process, and become the referent points for assessing the effectiveness of the over-all effort to inculcate the anticipatory perspective of planning throughout the institution.

Once a plan is written, it in turn becomes the starting point for an annual cycle of diagnosis, goal-setting, and the resultant redesign and implementation of a new set of activities to attain a new set of objectives. Events and values change, both within the university and outside it, that either suggest or necessitate the modification or perfection of a given element of planning. Thus all "products" of planning are potentially of an interim or preliminary nature. The essential ingredient of planning is the process; the various "plans" and their elements are only symptomatic of a particular state of the dynamic and iterative process of planning.

Normally there are several segments to a written plan. There is a long-range or general outline of the goals for the development of the university over a five- or ten-year period. There are also intermediate or specific objectives for the first annual segment of a planning cycle. And there are also short-range or detailed strategies setting forth the desired or contemplated activities for the immediate (weekly or monthly) segment of the annual cycle. In each case the segments of the plan are "rolling," constantly up-dated as need be during and after the completion of each of the time-frames. Normally a "plan" would include statements on the various aspects of the university's image and/or intentions. (See Figure 3, "Elements of a Written 'Plan' ").

The function of the university would describe the relationship between the activities of higher education and the activities of the other institutions of society. Higher education thus would be seen as "one social institution within a larger social system." The function of higher education could be the socialization of the young, the transmission of cultural heritage, the certification for entry into the professions, and/or the discovery and transmission of new knowledge (R. Peterson, 1970, p. 3). Such statements, normally are brief and generalized. They need to be altered only when substantial changes have been made in society's view of the role of colleges and universities. Although generalized, such written statements do play a significant part in clarifying the context within which higher education and thus the individual institution operates within American society.

The institution also would have a purpose, a stated conception of the mission of a subset, group or type of institution of higher education, such as the purpose of liberal arts colleges, or the purpose of the California State College system. These statements might be more lengthy and certainly more specific than the statement of function. They also are subject to more frequent alteration as a state system of education or the purpose of an institution evolves and changes. Annual, or at least periodic, review and updating of these statements is essential to insure an accurate framework for forming consistent goals and objectives.

A goal statement normally would both reflect and subsume one's understanding of the function of higher education and the purpose of, say a four-year public institution in a given section of the country. Goals are "the particular, possibly unique, pattern of specified ends, outputs and priorities established for a single college or university" (R. Peterson, 1970, p. 3). Goals normally are stated in general terms, which in the case of a university might include reference to the general concept of that institution; the services to be rendered; the applicable structural model; and the target population to be served.

As part of the cyclical process of planning, all goal statements are, of course, rolling statements, subject both to modification as events unfold and are evaluated, and to updating as each year of the cycle is completed.

Goals are set first by the entire institution for a five- or ten-year period. Each structural division or branch of the university, such as Academic Affairs, Student Affairs, Business Affairs, would then agree upon its five- or ten-year "modular" goals for its operations that are consistent with the institutional goals. Sub-units of the divisions, such as academic and administrative departments, also would draw up their departmental goals to be consistent with the principles and parameters set forth in the institutional and divisional goal statements. Assuming divisional and departmental inputs into the formation of institutional goals, and departmental inputs into the formation of institutional goals, and departmental inputs into the choice of divisional goals, the goal-setting process can and should produce not only a consistent set of general, specific and detailed goals, but also a set of goals that were arrived at through participation and consensus. (See Figure 4, "Phases and Elements of Planning").

The planning process both desires and allows a high degree of differentiation as one proceeds from institutional, divisional and departmental goals, but not at the expense of embracing incompatible or contradictory

20

goals and actions. The dynamic tension between the needs for consistency and coordination on the one hand, and differentiation and individuality on the other, are exemplified in the planning process. Thus the emphasis, noted earlier, is on knowing "how to" implement process-mechanisms that insure high participation within the context of agreement and action.

Statements of objectives also would be included in a plan. These would be specifically and/or detailed "aims or targets attainable in a specified period of time and capable of measurement and assessment" (Casasco, p. 3). A set of specifications as to what is to be attained, in what priority order, or what timetable, and with what effect—for each of the various component units, programs or services of an institution—is usually part of a statement of objectives.

Statements of objectives are drawn up only at the divisional and departmental levels, since these are the action components of the institution. Such statements are normally drawn up only a year at a time and apply only to the one year in question. Because objectives are the guides to detailed activities, the "things" evaluated at year's end, they are subject to continual review and at least annual modification.

Strategies also have to be articulated. Strategies include the specifics on priorities, as well as the timing and/or sequence of activities, and a clarification of the methods by which the goals were defined (i.e., by committee, through consultation, through community meetings, through surveys, or any combination thereof). Strategies also would note how one would determine that an objective had been attained; the methods for evaluating the effectiveness of performance; and the combination of human skills and managerial techniques that would have to be marshalled to complete the planning process (Casasco, p. 13).

Figure 3
Elements of a Written "Plan"

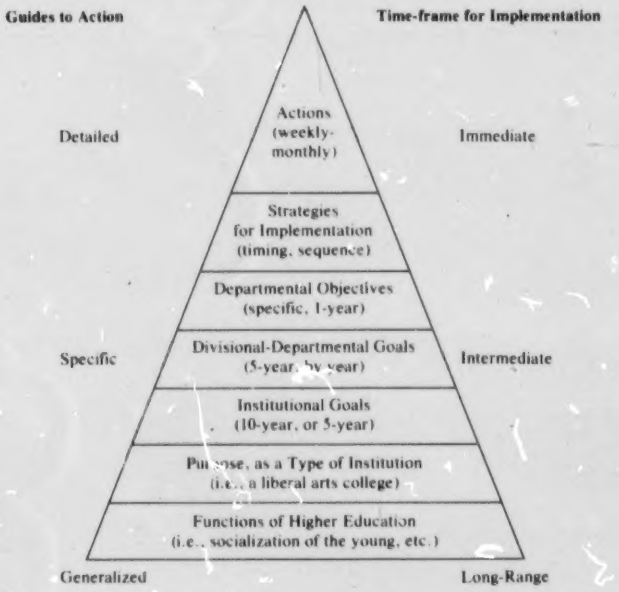
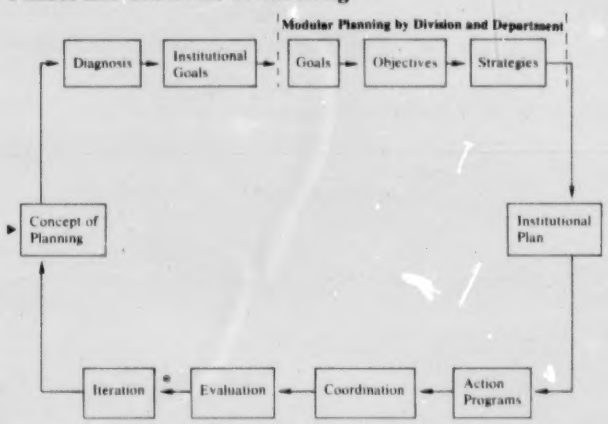


Figure 4
Phases and Elements of Planning



Part II
The Plan

1: Introduction

Planning, as described here, is an approach to the development of an institution. It is fundamentally a perspective designed to nourish a culture or an environment which provides incentive to the long-range perspective, the ecological impacts of individual actions, and the need for integrated coordinated activity. This approach, if it is successful, inevitably focuses on the dynamics of creating and implementing a comprehensive university plan. The planning perspective certainly is not confined to the development of a long-range plan, since it involves the adoption of the planned change and organization development approach throughout the organization. These perspectives and approaches to the development of an institution, however, do funnel into and at times culminate in the creation of a "plan," a visible and tangible set of written programs for attaining the goals and the objectives of the institution.

The development of a comprehensive long-range plan at the institution should both reflect and generate the planning perspective. The plan is at once an embodiment of the process, and a means for generating commitment to the perfection of that process throughout the institution. The guidelines in this part are concerned both with the implementation of a planning culture at the institution, as well as the implementation of a plan. Specifically, the guidelines propose a planning process which can help a college or university (1) clarify its images of the future, (2) decide how it wants to get there, (3) anticipate the internal and societal changes that can impact on institutional goals, (4) coordinate the planned change activities designed to achieve goals and respond to environmental changes, (5) agree on the methods of feedback and evaluation, and (6) determine the process of updating and renewing the planning cycle.

The term "guidelines" is meant literally. Knowing how to develop the culture of planning, and how to design and implement a long-range plan, are grounded in knowledge, realization, and know how, all of which find their basis in experience and experiment. Thus the examples given in this part are illustrative tools which can and should be tried and then perfected at each institution.

2. Organization for Planning

The organization for planning has three components: developing job responsibilities or functions within an organizational structure; amassing particular skills and abilities for completing the various aspects of planning; and identifying the roles to be played in the planning process. Organization for planning can be depicted as a group of persons who carry out specific jobs or functions while using particular skills and abilities to play certain roles in a dynamic process.

The interaction of function, skill, and role is illustrated in a three-dimensional matrix in Figure 5, "The Convergence of Functions, Skills, and Roles." The set of functions (i.e., the types of officers and offices) in use at a given institution would depend on its formal organizational structure, although there is a good deal of commonality in the structures of higher education. The list of planning skills and planning roles, however, as we shall see, would probably vary very little. At any rate, the three-dimensional interplay makes the choice of combinations very great. As the following explanations suggest, particular functions will be most effectively reinforced as they are paired with the strengths and perspectives of certain roles and skills. Whatever the combinations, those involved in planning, especially presidents, should be very attentive to the interplay between all three factors, and how they might be combined to aid in the planning process.

The Organization of Job Responsibilities or Functions

The President and Executive Staff

The core leadership for the recommendation, adoption and implementation of the overall goals of the institution would consist of the president, the president's executive staff, the academic deans and other key administrative officers. It would be the responsibility, in turn, of this group to insure wide participation of the board of trustees, faculty, staff, students and community personnel in setting the goals of the institution, the divisions, and departments.

The role of the president is particularly significant. He or she must be involved continuously and directly in prompting, prodding, and in every way providing the leadership for the evolution of the planning process. The overall responsibility for planning—to initiate planning efforts, to implement planning activities, and to monitor and evaluate those programs—would be vested in the office of the president. The president's attitude and words and actions, because of the authority vested in that office, will set the tone and the pace for the planning process. The energy and enthusiasm invested by others will, at best, match that of the president. If he or she, in day-to-day activities, does not communicate the significance of the process, then others are likely to abbreviate their own involvements accordingly.

The president should be assisted in leading and managing this process by a person or staff who would have the responsibility to organize the various projects needed to coordinate institutional planning. Together, the president and a staff assistant(s) for planning would be charged with the responsibility to facilitate the design and implementation of a planning process, and to encourage and assist others in their responsibility to gather and analyze information, order their priorities, and implement plans for the development of their programs.

The president does not complete planning for others. That office merely helps to lay the groundwork for wise decisions by others, and thereafter attempts systematically to integrate those decisions into an organized set of activities that will attain the agreed-upon goals and objectives. The role of the president is to provide a framework for decision making, and to insure that the participating groups amass the data, consider the alternatives, reach decisions, and effectively tailor their weekly or annual activities so as to attain the objectives they have chosen. This is neither the position of the autocrat or the abdicrat. It is the role of leadership: to facilitate effective decision making within a complex institution involving many persons, varying points of view, and myriad activities. As such it is the responsibility of the president's office to insure wide participation and consultation using administrative structures, governance bodies, and special advisory groups to insure that representatives of each of the major components of the university are involved in both forming and implementing planning activities.

Once the planning process has been initiated, and the general goals of the institution have been adopted through a participatory process, then the specific and detailed planning would proceed at the divisional and then departmental levels. Such modular planning would be coordinated by the appropriate vice presidents, academic deans and administrative directors, within the context of overall presidential leadership. The appropriate grouping of faculty, staff, students and community personnel would participate in turn in the diagnostic, goal setting, action, and evaluation activities needed to design and implement a particular planning module.

The confusion surrounding such nagging questions as

who does what, and who bears which responsibility, can be avoided or at least resolved quickly, by drawing up an outline of the interfacing leadership responsibilities of each of the types of offices involved. The "Framework for University Planning," Figure 6, summarizes in tabular form the phases of planning, and the corresponding aspects of function, leadership roles, data inputs, processes, time-frame and accountability.

The "framework" summary in Figure 6 should be based on a more complete explanation of responsibilities, similar to "The Charter of Responsibilities" presented in the final chapter. This illustrative charter explains only the charge to the president, vice-presidents, and members of the board of trustees; additional material relating to the deans, directors, and chairmen should be included as individual organizational structures suggest. Both the "framework" and the "charter" can be enormously helpful. They become the constant referent points for clarifying one's own responsibilities as well as others', especially during those first hectic months before these roles become known and internalized, and supported by others.

The Role of the Special Assistant for Planning

One of the first actions a president should take is to appoint a special assistant for planning to help facilitate and coordinate this complex task. The special assistant would be at the center of the entire planning process. He or she would be both an agent of the president, for synthesizing ideas and formats, and an agent of the entire university, for monitoring and coordinating the entire process. This person would have to be well-rounded and highly skilled, possessing the ability to work effectively with many diverse and specialized persons and groups while coordinating a very dynamic set of activities.

It is important that the special assistant be a staff member reporting directly to the president. He would have no line responsibilities. This would make it possible for him to have entree to the president while at the same time "be more clearly committed to providing service to others than to amassing administrative power for himself. If he is to enjoy the trust of other administrators and faculty leaders, he must be insulated as much as possible from suspect motives. In other words, he must be placed in the post which renders it least likely that others will perceive his appointment as a threat" (National Laboratory for Higher Education, p. 10). Moreover, the staff assistant would not be a substitute for the president. He would organize the efforts needed to effect the decisions made by others.

The personal attributes of the special assistant are in many ways akin to that of an organization development specialist. He is a person who attempts to bring about cooperation, heal conflict, open up communication channels, and engender trust. The staff assistant, however, is not the expert on designing and implementing procedures to facilitate and consolidate change. However, he would work closely with such a process facilitator. (See pages below for a description of the "Office of Planning Services," and "The Skills for Planning").

Formal Advisory Groups

Two groups, in particular, should be formed as soon as possible to aid in completing the long-range plan.

The planning council. The president should appoint a planning council made up of two representatives from each of the faculty, the staff, the student body, the board of trustees, and the "external" community. Its role would be to advise the president on all aspects of the approach and methodology of planned change. Specifically, this group also would be involved in setting up the guidelines, framework and parameters for a Comprehensive Plan, as well as drawing up the overall institutional goals.

The role of the council would be institutionalized in the life of the planning process. Information about its responsibilities and composition would be disseminated widely throughout the university, so that people would be aware of the intentions of the president to seek continuous advice and counsel on the concept, the approach, and the methodology of the planning process.

Divisional planning committees. Each major division of the university, such as Academic Affairs, Business Affairs, and Student Affairs, should form divisional planning committees to advise the appropriate vice president, and/or dean and director, on both the methods and the contents of the modular planning. Such committees would have broad representation including persons from within the division and those whose interests or background would distinguish them as helpful analysts, constructive critics or catalysts. The committees should include representatives of the faculty, students, administration and community personnel, in order to insure breadth and depth of perspective as well as facilitate some sense of commitment and ownership by the major groups involved in and affected by university policy.

The Office of Planning Services

Planning will not succeed without the infusion of a strong dose of process skills, analytic abilities, and feed-back capabilities. All three are essential to plan-

ning. All three can be grouped together under a proposed Office of Planning Services.

The function of such an office would be to assist any and everyone in their responsibility to complete either institutional and/or modular planning: to help them to gather and analyze information, clarify their goals, order their priorities, and design, implement and evaluate action programs. The role of the Planning Services, in short, would be to offer process, analytic and feed-back services to those who wish to plan. It would fulfill this role as it provided, upon specific request or invitation, the following services.

Process skills: assistance in outlining a suggested framework for planning (concepts, approach, sequence, methods, timetables); methodological advocacy (i.e., to design or recommend goal setting techniques, management systems, organizational development approaches, and methods of training and skill development); and interpersonal competences for working-through the complex human relations dynamics involved in planning.

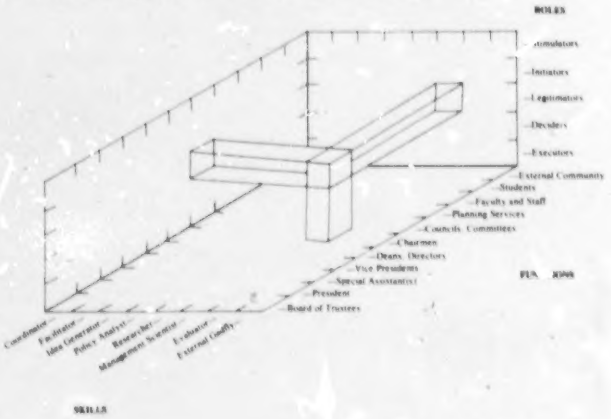
Analytic abilities: impact advocacy (i.e., analyze alternate courses of action for their possible and probable consequences throughout the university system); analysis of trends at the university, predicted consequences, and forecasts of the characteristics of the "future" university (e.g., the leveling off of enrollments, the shift in curricular interests, the diversity of student populations, the new forms for delivery of educational services); and analysis of external events and trends in order to anticipate impacts on the university setting.

(Note: To complete these analytic assignments, such an office would have to have some institutionalized linkage to such offices as Institutional Research, Computing Services, and any other data-gathering and retrieval systems that existed within the institution's organizational structure.)

Feedback capabilities: survey research to ascertain the needs and interests of new and continuing students, faculty and staff; market analyses to ascertain labor demands for university services and programs; and appraisal of how the planning process affects the way in which the institution operates.

It is in these areas of process, analysis and feedback capabilities, that many colleges and universities are apt to have less resources than desired. A word then about the types of persons who should be trained or hired fo these essential functions.

Figure 5
The Convergence of Functions, Skills, and Roles



An organization development specialist or process facilitator should be a member of the staff, or hired periodically as a consultant. This is a person who has knowledge and experience in organizational development, including those "how to" tools and techniques which diagnose and resolve issues of decision making, agenda setting, authority structures, communication patterns, and feedback systems. Not only is knowledge necessary but such a person should possess "a superior ability to learn. To be a rapid learner, he will need new tools for exploring complex problem situations, a facility at concept formulation, and a background of relevant theory that will help him integrate new observational data into ad hoc models useful for strategic intervention" (Friedmann, 1971, p. 325). Finally, this individual should be capable of developing similar diagnostic and problem solving abilities in others at the organization. This person fundamentally would be a teacher, a person, who while using his skills, helps to impart them to others.

The types of analytic abilities needed here would suggest the need to identify a non-computer systems analyst, a person capable of understanding the university as a complex set of systems, people activities and information. This is a perspective, a way of thinking, more than a conglomerate of formal skills. However, quantitative analytic skills are essential, as is the ability to communicate to non-technical personnel, and the interest in and knowledge of the interplay between higher education and societal forces.

The feedback capabilities are best captured in the

Figure 6
Framework for University Planning*

Phase of Planning	Function	Leadership Roles	Data Inputs	Process	Time-Frame	Accountability
Institutional Goals	To provide overall direction for the development of the institution	President Executive staff Planning Council Board of Trustees Participants in Planning Retreat Faculty, Staff, Students, Community	Images Assessment of present Extrapolation of present Forecasts Predictions	Broad participation Interactive with on- and off-campus persons Analytic Desires, realities and probabilities	5 years	President
Divisional Goals	To provide direction for the development of the major divisions of the university, consistent with institutional goals	Vice Presidents Deans Chairmen Directors Planning Committees Faculty, Staff, Students, Community	Images Assessment of present Extrapolation of present Forecasts Predictions	Broad participation Interactive with on- and off-campus persons Analytic Desires, realities and probabilities	5 years	Vice Presidents, Deans
Departmental Objectives	To provide specification of concrete actions, measurable outcomes, within the divisional goals	Deans Chairmen Directors Faculty, Staff, Students, Community	Images Diagnostic of strengths and weaknesses Data on enrollments, market needs, student interests	Dialog Analysis Wide participation	1 year	Chairmen, Director
Strategies	To specify the sequence of actions needed to achieve the objectives; set priorities; outline human and technical resources needed; pose methods of implementation	President Vice Presidents Deans, Chairmen and Directors (as stage of planning dictates) Faculty, Staff, Students, Community	Resource allocations Staff choices Advice of Planning Services	Requests Interactive Advise Supervisory	1-12 months	As appropriate
Action Programs	To implement their agreed-upon specific activities in order to attain goals and objectives	All individuals in the planning process—Board of Trustees, administrative leaders, faculty, staff, students, and community personnel	All of the above	Individual and group actions	Daily	Each person and group involved—from individual faculty and staff to unit coordinators to the President and Board of Trustees
Coordination	To integrate the action programs designed to attain goals and objectives	Unit Coordinators Vice Presidents Deans Chairmen Directors Faculty, Staff, Students, Community	Review of goals and objectives; update of strategies	Supervisory Advisory Counselling	Weekly-monthly, as needed	Unit Coordinator Vice President Deans Chairmen Directors
Appraisal	To evaluate the outcomes of the annual planning cycle, and to provide feedback for the next cycle	Unit coordinators with the assistance of planning councils and committees, and Planning Services; Faculty, Staff, Students, Community	Assess outcomes in terms of goals, objectives and strategies	Interactive counselling between unit coordinator and staff	At the end of the year	Unit Coordinator

*Adapted from Hardy, 1972, I, 32.

attributes of the researcher-evaluator. This involves training and experience in research as a market analysis, or ascertaining what people want and in what formats; research as a study of what happens to a person or an organization as a developmental process (i.e., what happens to the university involved in a planning process); and research as a study of institutional functioning (i.e., the interpretation of how individuals and groups use and influence the services, the roles, and the operations of the institution).

A Network of Skills and Abilities

Planning involves infusing sets of skills into a network of jobs and planning roles throughout the institution, the integration of which will enable a university to complete both the specialized and the integrating aspects of the planning process. Whatever the formal organizational structure, whatever the title and responsibilities of special assistants, advisory committees, or offices of the planning services, an institution must identify, amass and infuse into the planning process a set of skills, or insights, or perspectives, or types of people, whose impact can be cumulative and mutually supportive. Again it is a matter of understanding the dynamics or organizational life and the multiple pokes and prods and "change agents" a system needs to spark and sustain effective planning.

Once persons with the desired abilities or propensities are spotted on the faculty, on the staff, in the student body, in the community, they should be invited to participate in that stage of planning which most needs the strengths they have to offer.

The coordinator

The many facets and components of the planning process each necessitate the presence of a coordinator, whether it be at a meeting with the board, or the vice presidents, or any one of a number of planning committees. Each setting needs to have present the ability to monitor and coordinate the integration of data, ideas, decisions, and action follow-throughs. Such an ability should be part of the repertoire of capabilities possessed by many persons involved in the planning process, especially the president, the vice presidents or administrative and academic directors, and the special assistant to the president for planning. In any case, its presence is essential, and time should be spent insuring that a person with coordinating abilities is present at each legislative elbow in the planning process.

The facilitator

There should be present on every campus persons possessing practical-working ability in interpersonal and group dynamics. These skills should be possessed by one or a number of persons on the staff, including, of course, the process people in the Office of Planning Services, as supplemented by external consultants. The planning process is fundamentally a process of defining and bringing about change amidst the interplay of complex human relations. It is important then to have the capability to diagnose the organizational issues, and then to mediate or stimulate connections between persons and subsystems. These are the people who are capable of encouraging collaboration and mediating disputes. They are able to understand and facilitate the blending of individual, small group and total organizational efforts into a pattern of cooperation and mutual support. Their presence on committees and in departmental settings is crucial.

The generator of ideas

There are people on your campus who are informed about the developments at other institutions, whether academic, governmental and industrial. They also have the capability to enter into the confidence of various groups on campus so as to disseminate effectively news of societal or academic innovations and developments. As an information carrier, the generator of ideas both questions and initiates conversations which raise fundamental questions about existing practices and policies of the university. This is the resident cosmopolite, the person who reads and writes and travels and chats and stimulates.

The policy analyst

This person possesses the capability to analyze the flow of information around and through persons, activities and structures, and thus is able to gauge the impact or consequences of one activity or policy on the ecology of the university. This person is often referred to as an impact analyst, or an analyst of university systems. Such a person is not an advocate for the process or a particular product of change. He is the devil's advocate of any suggested modification in university procedures or structures. He doesn't think in terms of "goodies" or "badies" but only of impact and effectiveness.

The researcher

This person is able to complete the research needed to understand the functioning of the university. This involves the discovery, the interpretation, and the application of new information (i.e., assess the reliability of a given factor as a valid predictor, compound theories, build models). This role includes the ability to assist others in understanding and applying the results of research. This is a particular strength of many faculty. It should be infused into the planning process as frequently as possible.

The management scientist

Where the process facilitator is concerned primarily with process and cooperation among the human elements of an organization, the management scientist emphasizes "the technological aspects of organizational life" (National Laboratory for Higher Education, p. 15). These capabilities include those of the fiscal analyst who completes cost/benefit studies of various actions or inactions. The ability to measure and monitor such procedures as salary administration, program budgeting, performance testing, and operations research, are its other manifestations. Many staff members have these abilities as well as many faculty members, especially those in the areas of economics and management. They should be spotted, invited, and asked to complete analyses while at the same time raising these perspectives in planning meetings.

The evaluator

Once a cycle of planning has been completed, such as the first year, the organization must have the capability of evaluating what happened and with what degree of effectiveness and efficiency. Were the objectives obtained? Did students learn what they were supposed to? Were feedback mechanisms implemented? Was use of the library improved by 50 per cent? Were communication links built with the outside community? Did a new curriculum come about? Did we save money? Did the new survey research techniques implemented help to discern the needs and interests of the community? Assessing goal achievement takes specific skills at evaluating both the human and the technological components of the university.

The external gadfly

No matter how careful the university is in insuring that its vision is not myopic, every system has a tendency to build in messages of self-congratulation. The involvement of persons external to the formal university does not guarantee the presence of an objective or non-coopted gadfly, since involvement and participation can produce a commitment to insuring or at least perceiving that the plans that you helped design actually work. It is important then that "other" outsiders, those with the propensities of a human hatpin, be involved in planning, to insure that the "university" does not become overly comfortable or smug with its alleged objectivity or productivity.

Many of the skills and abilities needed on campus to complete effectively a planning process, can and should be combined in one person. Thus the skills of ideas and policy analyst may be lodged in one person. The skills of coordinator and facilitator may be possessed by any one individual. These combinations may not be likely but they are certainly possible, and where time and/or budgets dictate, it may be essential to identify persons whose repertoire of abilities combines one or more of those applicable to planning.

It also should be emphasized that this combination of skills should be available on a university wide basis, and where necessary, within each one of the major planning divisions of the university, and on the key planning councils and committees. People with ideas, with content specialities, or with "how to" skills must be infused into the planning function at every level of the university.

A Sequence of Roles

In addition to the planning process needing particular job functions and certain skills and abilities, it also needs those jobs and those skills fulfilling specific roles.

The sequence of roles involved in translating an idea into an action-program has been delineated by Rogers and Shoemaker (1971), as paraphrased by Don Michael (p. 72). First, there are the stimulators, those who stimulate "interest in the need for the new idea." Second, there are the initiators, those who "initiate . . . the new idea in the social system." Third, are the legitimators, or persons in power or authority, who then insure the "legitimization of the idea." Fourth, decision-makers then make the "decision to act." And fifth, the implementors then complete "action or execution of the new idea."

Just as some of the job-functions described above entail different sets of skills and abilities, so do both jobs and skills combine in different ways to play a "role" in the planning process. The three-dimensional matrix in Figure 5 above, relates the roles people play in the process, with the capabilities they possess, with their formal function within the university.

3: Adopting the Planning Perspective

The culture of planned change and organization development has to be nurtured. It doesn't grow overnight. It can develop into the style of the institution, however, if the president of the institution personally takes and/or encourages others to take a number of actions. Many of these steps were either alluded to or were implicit in the earlier analyses. They are listed emphatically and explicitly now for the sake of clarity.

The president, by word and action, must assume primary leadership for the nourishment of the planned change perspective. As noted earlier, the authority, prestige, and high visibility of the president's office, make it possible for the values, attitudes and actions embraced there to have a cascade effect on the institution. If the president emulates the planned change and organization development concept in the conduct of his office, then others are likely to follow that standard and model of performance.

It must be the president who constantly asks himself and others such questions as:

What are your goals and objectives?

How do you expect to attain those goals and objectives?

How will you know that you have attained your goals and objectives? (i.e., How do you measure attainment? What things will happen to indicate achievement?)

How soon, and at what regular intervals, should you report on or demonstrate your progress towards achieving your goals and objectives?

Such questions, posed to the stream of visitors and solicitors who normally hold the president's office under siege, will encourage many persons to think within the framework of obtaining clearly-defined and measurable objectives. It will add an incentive for people to think within the long-range approach and to marshal their resources and activities to get there.

The management of time by the president is a crucial component in his being available to provide the leadership essential for nourishing the planning perspective. Warren Bennis notes that there is a principle at work in almost all organizations, especially colleges and universities:

> Routine work drives out non-routine work. If a president of a university or any insitution isn't strongly aware of this principle, he soon is sucked into spending all his time on the important but trifling and inevitable mundane task of *organizational maintenance. That is not leadership; that is administration.* (author's emphasis) Leadership is the capacity to infuse new values and goals into the organization, to provide perspective on events and environments, which if unnoticed can impose restraints on the institution.
>
> Leadership involves planning, auditing, communicating, relating to outside constituencies, insisting on the highest quality of performance and people, keeping an eye out for forces which may lead to or disable important reforms.
>
> Administration, as I use the term here, is managing given resources efficiently for a mission. Leaders question the mission. Once the leader gets sucked into the inevitable strong undertow of routine work, he is no longer leading, he is following, which he is not paid to do (Bennis, 1973, pp. 83-84).

Thus the president and through his encouragement, all administrative leaders, constantly must ask themselves: Am I leading or am I maintaining? What can I do today and tomorrow that will have the most significant effect on this institution? What actions of mine will have the greatest ripple or multiplier effect on this institution? What behaviors of mine are the models I wish to present to others? How can I use the educating function of this office to facilitate adoption of and commitment to the participatory, systematic, and coordinated perspective of planned change? (Davis, 1969, pp. 364-65)

Development of a new perspective for the development of an institution entails expanding the horizons of the persons who will be involved. This means breaking the normal routines of thought, work, and interaction patterns, to include new ideas, new types of activities, and contacts with different sets of persons outside one's department, office, or institution. The opening up of an institution can be greatly facilitated by the allocation and expenditure of a certain amount of money and time for the creation of such stimulants as:

- think tanks, involving both university personnel, and off-campus community persons;
- guest analysts who remain in residence at the university for three days or three months;
- invitations for community personnel to help in the design of new programs;
- a speaker series on developments in higher education;
- the creation of boards of visitors who inspect or appraise a proposal or an operation;
- a set of workshops on how to implement the tools and techniques of planning; and
- the use of outside consultants for the process as-

pects of planned change. Such third party facilitation could apply to a whole range of university operations, including teaching skills, budget allocation processes, labor relations, and, of course, the interactions involved in devising a plan. Such outside sources can be used as catalysts for new perspectives, for finding out what is possible as well as how to attain it.

Procedural and structural changes can stimulate changes in attitudes, values and behavior. The continual requests that now besiege most colleges and universities for information about the budget, the programs, student enrollments, financial mechanisms, student aid, and labor relations, are normally deemed to be unwanted necessities, drudgeries which the universities must perform. These requests normally accumulate without the ability of the university to support an analytic staff or a computer-assisted information system that could make the university's responses more accurate indices of university efficiency and effectiveness. Nevertheless, like the sorcerer's apprentice, the requests are always there and seem always to be multiplying. A virtue can be made of this necessity by taking some of the requests, especially those for programmed budgeting, and using them as a prod to encourage departments or administrative offices to clarify the nature of their needs, to submit substantive rationales for the requested budget, to outline a timetable for the initiation and completion of a project, and to ponder the impact of that project on budgets, enrollments, and other ecological components of the university environment. If such requests for programmed budgeting are completed only within the confines of the president's office or the budget office, then those structured tools cannot be used as learning devices to encourage persons to think within the specific, systematic and coordinated ways so essential to planning.

The creation of feedback systems is crucial if an institution is to remain aware of the needs and interests of students, of the impact of policies and procedures, and of the effectiveness of individual ideas and actions. Any action of the university taken without a capability of retrieving the basis for that decision and the effect of that decision, robs the university of the basic ingredient in a learning process. Shielding oneself from feedback, whether it be from the turbulent environment of changing educational needs as they impact upon the faculty's concept of an appropriate curriculum, or from the reaction of students as it relates to the ego of the professor, or from cost effectiveness studies as they relate to administrative actions, will pose an enormous obstacle to the implementation of the planning perspective. Market research on student needs and interests; meetings and interviews with community personnel; the reactions of visitation teams; student evaluations of professors; student, faculty and staff evaluations of administrative policy and policy makers; and longitudinal information on the uses to which alumni put their college education; are among the set of feedback mechanisms needed to induce an institution to perfect present structures in order to stay abreast of change in the larger world.

Feedback mechanisms would also include the development of procedures designed to facilitate open, direct and explicit interactions between individuals on how they impact upon each other as they deal with change projects. Again, the process of management is the backbone of the ability to achieve any objective. Clarity, honesty and openness—and the OD processes that can be adopted to effect them—are the building blocks for the human systems that drive the planning process. Without a cooperative and collaborative style of managing the planning process, particular goals and objectives will always remain elusive. The meta-goal of planning, then, is to improve the process of human interaction so that energies can be linked more effectively to attain "other" goals.

Institutional rewards for involvement in the planning process must be identified, structured, and institutionalized. The assumption that something as new and relatively threatening as the planning perspective, can easily compete with the traditional ad hoc, incremental and myopic approaches, simply underestimates how systems operate. People will not break out of existing routines unless there is an appropriate incentive. Those incentives for planning might include release time for involvement in any of the process or analytic components of planning, such as now is the case for faculty research at most institutions; "seed" money for the development of courses in future studies, interpersonal competencies, or organizational development in the same way in which an institution gears up for the implementation of an additional department or discipline; and commendations for planning activities similar to those sent by presidents, vice presidents, and deans to the faculty and staff when speeches are given and articles are written. Titles can be assigned, committees appointed, money allocated, enabling memoranda issued, and a host of morale-building activities (simple encouragement and compliments) can aid effectively in stimulating individuals and groups to become involved in activities related to the initiation or implementation of any facet of the planning perspective.

The significance is not only the inauguration of individual planning activities, but the potential rippling and fanning out effect that behavior can generate. As one

person becomes involved in creating future studies, or sets up a long-range planning group for his discipline or department, or studies the demographic characteristics of the student population, or surveys the educational interests of persons in nearby communities, or devises a student evaluation of the faculty, or invites a consultant for advice on "how to" get an idea initiated or implemented, then others may do the same. The cumulative impact could create a critical mass of such activities, thereby setting up the possibility that the planning perspective can become or at least affect the core operating style of the institution.

It is important that the president, or the president's special assistant for planning, or any other person bearing responsibility to develop the planning perspective at the institution, identify and periodically meet with a set of persons with whom there is some kinship. Building a support group, for what could at first be a very lonely battle, is essential to maintaining perseverance and verve. This does not mean confining one's contacts to people with similar thoughts; a clique of "planners" can create for themselves a routinized cocoon as quickly as any other group if it allows itself to become insulated and exclusive. But psychic and material support is necessary and those resources ought to be identified and periodically rallied for sustenance and stimulation.

Broad participation in all facets of the planning process is essential. This means involving others, or seeking out their critiques, in everything from the conceptualization of a planning process, to an outline of steps on "how to nourish the planning approach." Both the process and the products of planning must be owned by the larger community through the widest possible participation of persons and groups. Without that involvement, planning could become a ritual, used as an isolated tool by those interested in it, but hardly affecting the core, the spirit, or the perspective of the institution.

Skill development in "how to" bring about the changes desired, is crucial.

Skill development on the design of interaction activities, interpersonal competencies, group dynamics, and the many facets of organization development, that set of practical steps which give guidance on how to achieve the goals and objectives desired, can be fostered in many ways. Departments or institutions can sponsor workshops, make the necessary process services available to those who wish to complete planning activities (i.e., the Office of Planning Services), hire consultants, or send individuals or small groups to the change action, personal interaction, and organization development workshops of the National Training Laboratories or other training organizations skilled in developing process competencies.

The president must complete a diagnosis of the state of the institution's "cultural readiness" for planning (Bennis and Schein, 1969, p. 356). This could involve educated and somewhat intuitive assessments based upon the knowledge of the persons and events at one's institution. It also should involve deliberately designed interviews, questionnaires, and group meetings intended to ascertain areas of budding potentiality as well as difficulties. A diagnosis should be made of the level of pain or gratification associated with given policies or procedures. Similar assessments should be completed which attempt to discern where people are at versus where they would like their program, department, or teaching style, to be. An assessment of the influence of external factors must be gauged, including such possible factors as shrinking enrollments, the leveling off of appropriations, the change in the nature of the disciplines, the competition coming from new markets for new skills and abilities. Finally there should be an assessment of the internal political pressures which may be encouraging or resisting particular changes.

Again the analytic, process and feedback expertise gathered in an office of planning services would be the resources upon which the president, and others bearing leadership responsibilities in planning, would depend. Such internal resources, should of course be supplemented as need be by any one of a number of consultants in the various aspects of organization development.

The gatekeepers, the disseminators, the disciples, the key opinion leaders, must be identified, talked to, and listened to. Their reactions and, if necessary, critiques on the president's attitudes regarding planning should be solicited and incorporated into future contacts and approaches. Interactions with the gatekeepers are the keys to linkage with other persons within the system; their participation, and hopefully cooperation, would aid enormously in spreading the planning perspective throughout the institution.

One of the main resistances to planning is the degree of uncertainty and ambiguity involved in undertaking an effort to achieve a relative "unknown." To stay within the traditional decision-making structures, to approach today's problem as one approached that of yesterday and the day before, have about them the security of habit. The outcome may be unclear, but the process of getting there is well-known, although admittedly inefficient and ineffective. Introducing feedback systems in order to be aware of the impact of particular behaviors, policies or procedures; defining objectives in measurable and concrete ways; and coordinating actions to attain

the choices made are new and relatively threatening ideas. They also are attempts to both attain and respond to a future which is rocked by change, turbulence, and a very high degree of uncertainty. The risk of error is great and tried-and-true methods are not available or documented.

Participation in planning can be a bit of a psychic jump for most individuals. As such, the president, and other leaders in the planning process, must adopt the attitude of confidence in the face of uncertainty, display a desire to embrace and learn from error, and show a determination to deal with the future no matter how turbulent (Michael, 1973, p. 102).

Since there is no formula or set of gimmicks for implementing either the planning perspective, or for instituting a university plan, the nourishment of planning fundamentally rests on experimentation and experience. The general ideas presented here are valuable and can be effective, but fundamentally they must be effected at each institution in specific ways that individual and institutional patterns suggest.

The absence of a foolproof system often generates a vicious cycle of always getting ready to begin. There is always new information that can be gathered, or reading to be completed, or reflections to ponder, or people to talk to. The search for perfection can impede implementation rather than foster it. Fundamentally any institution needs its own case studies, its own backlog of experience—that learning that occurs only by getting feedback on one's own experiments. The building of a planned change culture must be based upon individual experience. Organization theory has to be studied, the institution has to be diagnosed, but all to the end of something being tried and then improved.

The wait-and-make-sure dynamic also has a way of inducing pessimistic assumptions about the ability to be effective. One can too easily, and without evidence, assume that the creation of feedback mechanisms, or the encouragement of attendance at organization development workshops, or the suggestion of designing evaluation systems, will be resisted as soon as they are mentioned. Consequently the ideas do not get tested. As Davis points out (1969, p. 365), one of the significant breakthroughs occurs when you can "get people to be aware of the various possibilities they have and to test them, not to accept the stereotypes in the situation, the sacred cows, that exist in any kind of organization, but to really say, 'o.k., this is what makes sense to me and . . . this is what I want to try to do.' "

4: Basic Decisions

Certain basic decisions must be made involving allocations of both time and money, before an institution can embark upon the series of steps needed to develop an institutional plan.

The president should adopt an operational definition or concept of both the planned change perspective, and an institutional plan. This "concept paper" will form the framework for many conversations and activities needed to muster support for that concept and for the action programs it includes.

As one approach, a president could start by assessing the concept of planning presented here, and through the appropriate additions, deletions, or modifications, conceptualize a planning operation which he thinks best suits his or her institution. Substantial alterations in this concept of planned change are not advocated, but if called for, the process may be facilitated by reacting to and thus perfecting the structured theses presented here.

Thus a president need not start from scratch; he can use and adapt what is noted here as the beginnings of his own construct. Whether the basic theses presented here are utilized, or whether they are modified in part or substantially, the president must make that concept his own; he must become committed to it by understanding it, tampering with it, experimenting with it, and continually updating it on the basis of his own experience. If nothing else, the concept of planning articulated here either demands that it be adopted or become the basis for its own perfection.

The iterative or repetitive process of conceptualizing, interacting with other persons about that concept, and then perfecting that concept, is the experimental-experiential approach that is recommended. Conversations, either over the phone, person to person, or in small groups, should be held over a period of two months with representatives of the key constituencies of the institution: the board of trustees; the staff of vice presidents, deans, and directors; the faculty; the student body; and the external community. In addition, the president should seek the advice of anyone who has the reputation for being analytic, perceptive about the mood and culture of the campus, constructively critical, and by instinct a member of the loyal opposition.

The Special Assistant for Planning, as outlined above, should be identified from within the existing faculty and staff, or hired, as soon as possible. Initially, articles must be read, materials circulated, meetings arranged, concept papers on planning modified and reworded, data gathered, and persons contacted, all of which can be facilitated and coordinated by a person who in job responsibility, skill, and role, is committed to stimulating other persons to understand and adopt a planning perspective. Such a person, in order to play a stimulating and coordinating role, should possess skills which allow him or her to work with hard data as well as to interact comfortably and effectively with the myriad publics which interface with the president's office.

An informal survey should be made to identify a combination of jobs, roles, and skills and abilities within the institution which would aid in the clarification and implementation of any of the phases of planning. By using a simple pen and paper, a president can start to jot down the names of the faculty, staff, community personnel, students, and friends of the university, who typify the skills and roles outlined above, and who could aid as either members of a planning council, a planning committee, other advisory groups, or as market researchers, analysts, or diagnosticians. A simple chart, listing the phases of planning across the top of the page, and the functions, skills, and roles on the side of the page, would allow the president to get a bird's-eye view of which individuals associated with the institution would best qualify in which spots.

The Office of Planning Services, if something comparable does not already exist, should be initiated as soon as possible. Equal attention has to be paid to the analytic data gathering services, the organization development process skills, and the feedback mechanisms. These are three crucial components in the design and implementation of planning. Without such services available to help the president, the executive staff, and any other persons assuming leadership or influential roles in the planning process, then the institution would be trusting this new concept to the old "intuitive" tools and techniques. The contradiction would likely defeat planning very quickly.

Investments to perfect or develop the university's capabilities in institutional research, statistical reporting, computer-assisted information retrieval, and the coordination of information flow on campus should be assessed as soon as possible. The administrative person in charge, with the assistance of the Special Assistant for Planning, could gauge the sufficiency and the effectiveness of the present operations and outline the steps needed to bring those operations into line with the anticipated planning needs for sophisticated data. Direct linkages of these resources to the Office of Planning Services should be institutionalized.

Basic information about the institution should be

gathered. The history and present patterns of enrollments, the distribution of budgetary allocations, the comparative compensations of the faculty and staff, enrollments in various curricular programs, reflections of student interests and needs for non-curricular programs, the status of physical facilities including residence halls, the history of and present rates of student tuition, all these realities and commitments and parameters should be collated into an institutional "fact book" so that a common data core is created, disseminated and periodically updated. The Special Assistant for Planning probably would be the agent for integrating and circulating this material. The fact book, as updated periodically, will become one of the diagnostic tools used in formulating a Comprehensive Plan.

The board of trustees should be informed fully of the president's leanings toward planned change, given enough information (i.e., the president's concept paper on planning, as well as the fact book) and time to understand the approach. At least the informal consent of the board to proceed is essential.

The president, in addition to the concept paper on planning, should formulate his own plans regarding the planning approach. Goals, objectives, strategies, and operative timetables, as well as the resources that will be required, should be outlined and updated periodically. Such a paper would then become the president's "strategy guidelines." It would outline what to do on what general timetable in order to: stimulate an understanding of the planning process, initiate multiple activities to facilitate its adoption, and generate a concrete expression of planning through the development of an institutional plan.

A Planning Council, and subsequently the other advisory committees to the vice presidents, should be formed quickly. Key opinion leaders, gatekeepers, and highly insightful and analytic personalities, from the board, faculty, staff, student body and community, ought to be asked to join such groups, thereby giving the president and the executive staff a constructive group of devil's advocates with which to interact. Only in this way will the president and the vice presidents have available to them the institutionalized, interactive mechanisms needed to keep them stimulated and honest, and to keep the wider community informed and involved.

The president ought to adopt a "Guideline for Presentations", which would become the basis for his own requests or submittals to the board of trustees, and which in turn would become the basis for all requests or solicitations made of him. The guideline (See Figure 7) would encourage people to identify their goal or objective, clarify the issue, make recommendations only after consideration of some of the alternatives, and assess both the institutional impact and the resources that will be required. This systematic and coordinated procedure or structure in the long run could induce an attitude more in keeping with the planning perspective than the present set of ad hoc, verbal and thus fleeting requests.

The president ought to ask all those involved in the planning process, from vice presidents to members of the planning council to individual faculty and staff, to complete periodically a **"planning interests" guide** (See Figure 8). Not only will this material be useful to individuals in anticipating and responding to ideas and problems, but it can become the data upon which the agenda for group planning is based. If shared with a process consultant (internal or external), such material can be the basis for designing the appropriate diagnostic interventions, as well as goal-setting and evaluation techniques.

All meetings concerned with the planning process ought to include a written agenda, and the practice, at the end of the meeting, of reviewing or assessing the success of the meeting (Lippitt, 1958, p. 141). This can insure that the agenda is adhered to, and that the groups involved are given an opportunity to react in person, and on the spot, to the tone, the procedures, the decision making process, and general effectiveness of each meeting as it occurs.

Figure 7

Guideline for Presentations

Goal or Objective

Issue

Alternatives Considered

Recommended Action

Timetable (initiated-completed)

Institutional Impact (anticipated)

Resources Required

	Available	Needed	Total
Human			
Technological			
Other			

Figure 8
Planning Interests*

Name: _____

List and briefly explain:

1. The groups and individuals who are the targets of my change efforts.
2. The kinds of change I hope to bring about in these target groups or persons.
3. Any other groups or persons I would like to influence this month.
4. The kinds of things that would happen as a result of the changes I wished to bring about.

*This guide is based on materials used at an "Institute on Planned Change," sponsored by the Center for the Utilization of Scientific Knowledge, Institute for Social Research, University of Michigan, Ann Arbor, Michigan, June, 1972.

5: Designing a Comprehensive Plan

The material presented in Figure 9, "Steps Involved in the Development of a Comprehensive Long-Range Plan," is an outline of the components and steps involved in drawing up an institutional plan. The sequence of events applies first to the articulation of institutional goals, which are then used as the framework for the completion of planning modules. The modules include both the goals and the objectives of the various divisions and departments of the university. The plan, or a total cycle, is finished when the third component—integrated planning and implementation—is completed.

This sample framework for the development of a comprehensive long-range plan involves ten major processes and some 26 steps. The explanation that follows will correspond to the numbers and the letters used in that outline framework. The numbers used refer to the office or offices which must assume primary leadership for organizing the highly participative decision-making processes within which the "lettered" steps evolve.

The process is based on the full involvement of faculty, staff, students and community personnel in each step of the decision-making process. The responsibility for initiating, organizing, and prodding each particular phase of the decision-making process, however, rests primarily with the appropriate "administrater" (the president, the vice-president, the dean, the chairman, or the director), who was elected or hired to provide leadership for group decision-making and to insure implementation of those group decisions. Also see Figure 6, "Framework for University Planning," above, for a summary in tabular form of the phases of planning, the corresponding aspects of function, and leadership roles.

All of the following steps and processes either have been referred to or examined in earlier sections. What is new in this particular section is the grouping and the sequence of these factors as they relate to the completion of a comprehensive long-range plan.

In sketching out the sequence of events, an attempt was made to gather illustrative materials which would aid an institution in actually clarifying its goals, setting its objectives, and coordinating the action programs. These illustrative "how to" exercises are not prescriptions, but examples of the type of exercises, formats, and approaches which would be helpful to an institution in the midst of planning. Again the emphasis is on "guidelines," recommended approaches to guide the activities of those who actually will plan. The recommendations are presented to stimulate search-experiment activities which are crucial to learning how to plan. As one learns how to plan, the tools and techniques necessary to design a long-range plan become evident, which in turn is another opportunity to learn how to foster the culture of the planning perspective.

I. Institutional Goals

Diagnostic Materials

The first of the ten facets of formulating an institutional plan involves the initiative and leadership of the president's office. The materials completed represent the initial diagnosis of the functioning of the institution. As noted in Figure 9, steps a, b and c involve the gathering of basic information about the past and present in order to obtain a reality map of the institution. Once this material is amassed and collated into the earlier mentioned fact book, it becomes the basis for making extrapolations, predictions and forecasts into the future, mapping out conceivable parameters within which the university might operate, and examining alternative scenarios for institutional development.

The fact book also becomes the basis for finalizing in more specific terms, the concept paper on planning, devised by the president's office earlier. That working paper is intended to outline the participative, systemic and systematic process of planning, both as it pertains to fostering a culture of planning throughout the institution and as it relates to the implementation of a comprehensive plan. The accumulation of specific data about the institution in the fact book may suggest the need to revise some aspects of the concept paper, or reconfirm the state of the institution and thus the original outlines of the concept of planning.

The fact book has five components: it organizes data which describes the present functioning of the institution; it gathers information on needs and interests of those wanting educational services from the institution; it analyzes the university's decision-making mechanism and processes; it summarizes developments in higher education at-large; and, it ponders the societal forces within which all of higher education must operate. Together these data elements can present a picture of what the institution is doing, what people are interested in, how the persons working at the institution interact to form and implement decisions, what forces are influential in higher education, and what societal factors impact on higher education.

Data on Institutional Functioning. This involves gathering data about needs and interests as they are

Figure 9

Steps Involved in the Development of a Comprehensive Long-Range Plan

I. INSTITUTIONAL GOALS

(1) President's Office	(2) Executive Staff and University Planning Council	(3) President's Office	(4) Executive Staff and University Planning Council	(5) Board of Trustees
a. Diagnostic Fact Book: Reality Map of Past and Present b. Extrapolations, Predictions, Forecasts c. Conceivable Parameters and Alternatives given (a) and (b) d. Review Concept of Planning: Participative, Systemic and Systematic	e. Planning Retreat f. Examin. of Desired Futures and Projected Realities g. Rank Realistic Images of Future; Force Field Analysis, and Planned Strategies	h. Prepare Tree of Goals i. Prepare Interaction Matrix j. Summary of Images and Goals	k. Review, Revise, Suggest, Agree, Repeat	l. Iterate, React, Recommend m. Interact with President, Executive Staff, and Planning Council n. Decisions

II. PLANNING MODULES FOR DIVISIONS AND DEPARTMENTS

(6) Vice President, Deans, Dirs., Ch.	(7) Dean, Chairman, Director-Staff	(8) V-P and Divisional Staff
o. Review a-d, and Apply Diagnosis to Specific Division p. Planning Committees Formed q. Select and Rank Realistic Images of the Future r. Tree of Goals and Interaction Matrix	s. Review a-d, and o and Apply Diagnosis to Specific Dept. t. Select and Rank Objectives u. Select Strategy (timing, sequence of steps)	v. Integrate Dept'l. Modules into Divisional Plan

III. INTEGRATED PLANNING AND IMPLEMENTATION

(9) President and Executive Staff	(10) President-Board of Trustees
w. Integrate Divisional Modules x. Strategy for Coordination, Review, Evaluation, and Iteration Next Year	y. Approval-Implementation-Coordination z. Updates and Appraisal

expressed in behavior: the curricular choices of students, the demographic characteristics of students who have chosen to come to the university, the internal budgetary allocations of the university, the types of courses offered at various times of the day by the faculty, the series of policies and procedures implemented by the university administration.

Data on Needs and Interests. Information should be gathered which attempts to gauge the wishes and interests of the various clients of the university by asking them about their *needs and interests*, what they would do or would like to do in the future. This involves market research and the use of questionnaires and interviews to obtain information on such issues as the developing curricular interests of students, the priorities of faculty and staff, the desired distribution of the university budget.

A similar diagnosis of needs and interests of off-campus personnel can be completed by amassing data about the demographic characteristics of those who live in the communities near or surrounding the university; an analysis of past and present physical development programs involving roads, buildings, and the emergence of new communities; the wishes and the desires of the off-campus communities for the educational services of the universities; and the continuing educational needs of the alumni.

The purpose of gathering information about needs and interests and expectations is to avoid planning as a simple extension of present patterns. Describing the behavior of students for example, in terms of what curricula they already have chosen at the university, may give skewed responses because students can choose only from that which is available. If opportunities were available periodically for students to express what they would study were it offered, it would give the university a better idea of the curricular interests and needs of students. The same approach might be utilized for programming of extracurricular activities at the university, as well as the processes and procedures by which students register, check out library books, and complete graduation requirements.

Even the routine of offering courses a certain number of times a week for a certain number of minutes, can become a habit if opportunities are not periodically given to the faculty to rethink the basis for those formats, and to encourage either the molding of substantive rationales for continuing the present paterns, or to suggest new formulations which may be more effective. In organizing informaton about any of these inputs from the desired future, it is important to design simple studies which monitor what is, and then what happens as these desires or images crystalize and are implemented. Before and after analyses are crucial if one is to understand not only what exists but how effective earlier actions have been.

Tracing the careers of alumni, their mobility and job and living situatons and all the educational needs and interests that could surround those developments, would give the university significant antenna about the state of the market, and the ability of students to actually apply and utilize their education, and the interest in particular forms of continuing education. This information is also an important barometer for understanding the external environment in which the university operates, and for anticipating the many futures to which a university may wish to have to respond.

Similar canvassing, through questionnaires and interviews, of community personnel, from the teenager to the middle aged businessman to the senior citizens in the surrounding communities, whether they are now attending the university or not, would give the university a good deal of informaton about the true demand levels for various curricular and co-curricular options.

Information on university decision-making. Significant information about the university is not confined to its content programs. Given the emphasis of the planned change and organization development approach, it is at least as important to be mindful of gathering information about the organizational process within the college or university: how an institution makes decisions, how it fills key positions, how it communicates between individuals and groups and internal and external communities, how it goes about reorganization, and how it structures psychic rewards. (See Davis, 1969, pp. 367-68.) Information on these processes are not only essential inputs to understanding what the university is and what it could become. Organizational processes, like the "content" areas of curricular development or administrative policies and procedures, also should be the subject of goals and objectives.

Simultaneously with the discovery of data about programs, the university should devise means by which to understand how it works, as well as to encourage individuals and groups to share their perceptions on how they relate to each other. These are the inputs needed during the goal setting phase to answer the crucial question: what decision-making processes does this institution wish to have?

Information on developments in higher education. Besides generating data and ideas from the on- and off-campus communities, there is an abundance of material available from such analysts of higher education as the Carnegie Commission, the critics of the Carnegie

Commission, and a host of other writers, committees and commissions. This material, however, normally is not explored systematically at colleges and universities. It is rare that it would be explored systematically by an office charged explicitly to find the relevance between those ideas and any ongoing, contemplated, or desired developments at a given university.

It would aid enormously in the iterative process of diagnosis to institutionalize a framework for the systematic discussion and dissemination of information about developments in higher education. Many persons see isolated pieces of information—information that is generated locally or by a national commission such as Carnegie—but they lack the means by which to integrate that information or analyze its applicability to the operations of their department or institution. Each "new" idea then necessitates that the interested parties form their own coalition in order to gather their own information, complete their own analysis, and set up their own machinery to understand the idea and then apply it to the home situation. Duplication of research and analysis, both on and between compuses, is enormous.

A significant contribution could be made if an office of the university was charged to gather and disseminate information about developments in higher education, and explore their applicability to the institution. This charge certainly could have a bearing on the roles and responsibilities of the Office of Planning Services, for that office could very well act as such a catalyst, discovering ideas, calling meetings to discuss those ideas, and setting up conferences, workshops and institutes to at least encourage their analysis and use. Such mechanisms would facilitate ideas going beyond the rhetorical-exploration stage. They would allow new ideas to be thoroughly reviewed and analyzed by their colleagues, as supported by this information bank of the university. The existence of such an office also would encourage university-wide participation in exploring and applying effective innovations.

Societal Forces. Developments in the world at large can and do set the context within which all institutions, including those of higher education, operate. Economic trends, within the state, regionally, or nationally, affect the tax base, and thus the level of appropriations, pay scales, and tuition rates. The advent of consumer power could impact on community attitudes regarding who and what should determine the curriculum. The emergence of students as political forces, the upswing in leisure time, the many aspects of the technical-scientific-electronics revolution, all can and do exert profound influence upon the content and contours of the university system. (See Sturner, 1972.) These factors cannot be gauged precisely, but their presence can be detected and their impact anticipated.

Goal-Setting

The next three steps of planning (steps e, f, and g in Figure 9) involve the review of the diagnostic materials, the setting of desired futures, and the ranking of the realistic images for the future. The president's office plays the leadership role in this set of activities, with the vice presidents and deans, the members of the university Planning Council, and other invited members of the internal and external community, being the core group for identifying, clarifying, and setting priorities for the overall goals of the institution.

Preparation for goal-setting involves an understanding of what is, as energized by an awareness of what should be, the combination producing an analysis of what could be. One's realistic images of the future, then, are dependent upon a thorough diagnostic grounding in the realities of the current workings of the institution, as propelled by one's desires for the future. This setting of realistic goals combines both the anchor and the sail (See Figure 10, "Goal Determination").

The "Inputs from the Future" (See Figure 11) are particularly important since they complement the diagnostic-descriptive materials. Fantasies, images of potentiality, extrapolations from the present, forecasts about the future, and predictions about a highly uncertain future, all enter into the fusion of descriptive and normative goals. The diagnostic material about the functioning of the university, both in its formal programs, procedures, and policies, and in its approach to organization development, can be outlined in the fact book, as noted in the diagnostic phase above. The inputs from the future, however, emerge from the extrapolations, predictions and forecasts, as based on the diagnostic materials, as well as from the interaction of individuals who produce both wish-list fantasies about the future, and images of the potentiality.

Planning Retreat

The design for a planning retreat assumes the input of a large group of persons in order to insure diversity and a full range of human interactions. Four distinct groups would be involved in the retreat. One set of persons is involved because of its leadership and/or significant function within the university: the president, the core of vice presidents, deans, and directors of major programs. The members of the Planning Council form a second group, insuring input from some representatives of the Board of Trustees, the faculty, staff, students and community. A third group, the largest, is made up of persons

who are invited to attend the goal-setting meetings by the members of the Planning Council.

- The President's Executive Group should be involved because of its responsibility to design, prod and implement a planning process at the university. The core of vice presidents, academic deans and key administrative directors, plus the president might consist of as many as 10-15 persons.
- The Planning Council would consist of 10 persons, two each from the Board of Trustees, the faculty, the staff, the student body, and the "external" community.
- Because of the comparatively heavy input from the executive group—both in numbers, and in entree to and involvement in facilitating the planning process—their numbers ought not to be increased in this goal-setting phase.
- The other components of the university, however, that large, rich and diverse reservoir of ideas and experiences, should be invited to increase their input into the institutional goal-setting phase.
- Each of the ten persons on the Council would be asked to invite two other persons to the goal-setting sessions, and each of those twenty persons in turn would have the opportunity to invite two additional persons. Those invited could be from any of the constituent groups of the university: board of trustees, faculty, administrative staff, students, or community. The total group attending the planning retreat then could number as many as 75 persons: 15 members of the Executive Group, the ten-member Council, the first group of 20 invited by the Council members, and the other group of 40 invited by the initial twenty.
- This approach would bring to the goal-setting retreat a diverse set of persons who probably had not been in a meeting together before. This design facilitates inputs from those who normally might be excluded from the decision-making or authority structures of the university. Not only is the goal-setting process grounded in the diagnostic data gathered earlier, but the perceptions of the "insiders" are made more complete and perhaps more realistic through the perceptions or inputs of those who normally are not involved directly in influencing university policy.
- This total group, would attend a two-day planning retreat, and complete the "Images of Potentiality," "Force Field Analysis," and other exercises.

Retreat Activities

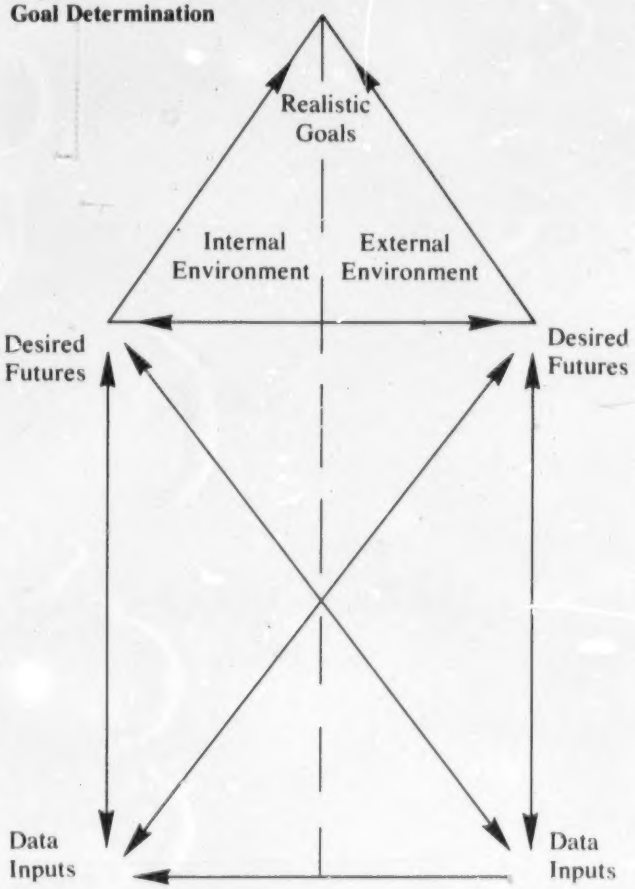
Images of Potentiality. The major exercise of the retreat is the completion of "Images of Potentiality." The following design is adapted from Fox, et al, 1973, and from the very complete workbook approach used in "How to Change Things" published by Human Resource Development Associates (1973).

The group of 75 persons would be broken into ten groups of seven to eight persons each. Every attempt should be made to insure that each break-out group is as heterogeneous as possible.

The exercise is not oriented toward reminding the persons in a group of the reasons why they can be depressed. It rather is related to the positive features of the future and to problem-solving. The emphasis is placed on visualizing the potentialities latent in the current situation.

- Each person in each group is asked to take a trip five years into the future, and while hovering above the

Figure 10
Goal Determination



university in a helicopter or a magic carpet, visualize as concretely and specifically as possible (1) what is going on that makes him or her happy, and (2) what the impact is of those activities. The responses or images should not include pie-in-the-sky fantasies, but should dwell on potentialities on the present situation, which if activated and realized would make the person happy.

- The interactions depicted could be between oneself and students or between students-and-students, students-faculty, staff-community, or any variation of those themes. These images of the behavior, projected five years into the future, would be written down on newsprint and then posted around the room for others to see.
- Ten or fifteen minutes would be given for the members of each group to read the responses of the others within their group and to put a rating of three, two or one (3 is high priority, 1 is lower priority) next to all the items listed on one's own sheet as well as on the sheets of the others in the group. The five images of potentiality which scored the highest would then become the basis for another meeting of the group devoted to placing the five images in priority order, and then deriving specific declaratory goal statements based upon each of those images.
- The ten groups would then post their five goal statements for others to read.
- Individual entries would be clarified, but most important, duplicates would be eliminated, and similar entries, by mutual consent of the groups involved, would be amalgamated.
- The revised list would be transmitted to ditto sheet listings. Each goal statement would be rated by everyone indicating their preferences on each, using a scale of one to five (5 being high, 1 being low).
- The five goal statements receiving the highest ratings would be adopted as the interim goals of the institution.

Comparing the Desired Goals to the Projected Realities. The ten original groups would be reconstituted into five groups of approximately 15 persons each. The groups would discuss the goal statements in terms of the diagnostic materials on hand, seeking to understand the realities, both present and future, likely to form the context within which the university would strive to realize its images of potential futures. The inputs from the future would include, in addition to the images of potentiality, inputs from fantasy, and the extrapolations, forecasts and predictions that may have emerged from an analysis of the diagnostic materials. (See Figure 12, "Inputs to Goal Setting," for a summary of the elements that could enter into this discussion of possible contexts for realizing the desired goals.)

Figure 11
Inputs from the Future

Type	Basis
1. Fantasized Futures	Related more to individual needs than to present contexts or probable scenarios.
2. Images of Potentiality	Desired futures grounded in reality of knowledge of self and organization.
3. Extrapolations	The present extended into the future.
4. Forecasts	Probable futures as based on analysis of trends, and assumption of alterations in those patterns.
5. Predictions	Highly uncertain view of the future, as based on some analysis but little weighing of probabilities.

Following discussions within the smaller groups, the entire group would reassemble and either (1) reaffirm the wording of the original goal statements, (2) modify the wording, (3) eliminate goals which appeared to contradict irrevocably with the probabilities of the future and/or (4) add to the original list of goals. This material would be outlined on ditto handouts, and then rated (1 to 5) through written or verbal consensus.

The resultant "realistic images" or priority statements, would have been evaluated by the combined group in terms of the reality of what is, and the parameters suggested by the extrapolations, predictions or forecasts stemming from that diagnostic material. Impossibilities would have been eliminated as well as those which appeared to contradict the probabilities of the future. The result would be a set of approximately five realistic images of the potential of the institution, as arrived at with a diverse input, by a large group gathered through the process of community selection.

Force Field Analysis. Once desired goals had passed through the filter of reality or projected realities, then each of the five groups would complete a force field analysis of their goal statements, listing and analyzing the factors which were likely to facilitate implementation of each goal, and those that were likely to act as a resistance to implementation. (See Figure 13, "Force Field Analysis.") Each of the factors could be assessed

in terms of how clear it was that it was really a force (clear, partially clear and unclear), how difficult it would be to bring about some change in it (easy, medium, or hard), and how important it was to the attainment of the goal (rated 1, 2, 3, etc. in order of importance with 1 the highest). These assessments would be outlined on ditto sheets, each of the groups circulating and explaining its material to the entire meeting.

Planned Strategies. Following the force field analysis, each of the groups would become a task force to derive the more specific components or subunits of each of the general goal statements. Each task force also would design a program of one year objectives for attaining the set of overall (general) and subunit (more specific) goals. The elements of a strategy action program (what actions should be taken when) also would be outlined.

- This approach is intended to bring this enlarged Planning Council through the experience of an entire, but compressed, cycle of planning. The ideas and insights gained would aid them enormously in guiding and advising others on what to do, when and how. It is, in short, a training ground for planners, giving them an opportunity to live out the planning perspective, and thereafter use that experience as a guide to future planning activities, for themselves and for others.
- The derivation of subunit goals, objectives, and strategies like the results of the force field analysis, would be transcribed onto ditto sheets, circulated, discussed, revised, and packaged for further analysis, review, and conceivably adoption, by the other groups involved in the remaining aspects of planning.

Adoption of Institutional Goals

The total package of images, goal statements, force field analyses and planned strategies, produced by the retreat would be collated by the planning assistant into a "Summary of Images and Goals." The summary would:

- become the basis for the preparation of graphic material by the president's office or the Office of Planning Services (steps h and i). For example, the material could be outlined in graphic form through the completion of a "Goal Tree" (See Figure 14), and an "Interaction Matrix" (See Figure 15);
- act as the basis for a second two-day retreat of the same group to review and, if necessary, revise, and eventually agree to the goals outlined (step k);
- be forwarded to the board of trustees for their

Figure 12
Inputs to Goal Setting

Internal Environment of the University (Illustrative)		External Environment of the University (Illustrative)
As analyzed, envisioned, and desired by the Board of Trustees, President, Executive Staff, Planning Council, Faculty, Staff, and Students	**Desired Futures**	
	1. What is (perceptions of present)	As analyzed, envisioned, and desired by prospective students; governmental agencies; interest groups, community-at-large
	2. What could be (images of potentiality)	
	3. What may be (hopes and fantasies)	
	Data Inputs	
Analysis of existent programs, personnel, resources, facilities	1. What is (the present context)	Curricular interests of incoming students
Operative goals and objectives	2. What may be (extrapolations-forecasts)	Current legislative appropriations
Organization Structure, and feedback and renewal mechanisms	3. What could be (predictions)	Economic-social events in world-at-large

Figure 13
Force Field Analysis*

Illustrative

Goal: To implement a planned change approach to the management of this institution within three years. (This goal statement could be the president's personal-strategic goal, which if successful could become an institutional goal.)

Aids: Driving Forces	Resistances: Blocking Forces
State legislative pressure for long-range planning and program-budgeting (clear) (4) (easy)	Legislative inaction on requests for analytic and process skills (clear) (1) (difficult)
Faculty and staff concerns over long-range tenure at university (partially clear) (6) (easy)	Collective bargaining blocks to the long-range view (partially clear) (7) (medium)
Campus desire for a greater sense of institutional direction (unclear) (2) (medium)	Fears of authoritarian controls and evaluation (unclear) (3) (difficult)
Student requests for creation of feedback mechanisms, and community inputs (clear) (5) (medium)	Student groups splintered, fleeting, isolated (clear) (8) (difficult)

Clear, partially-clear, unclear refer to how the writer views this as a force.
The numbers represent ratings of importance to attaining the goal (1 very important, 8 least important).
Easy-medium-difficult are estimates of the relative efforts which would accomplish the change.
*Adapted from Jung, 1966, p. 7, and Fox, 1973, p. 73-74.

review, analysis and decision on university goals (steps l, m and n); and

- become part of the backlog of information, in addition to the concept paper and the diagnostic fact book, that would be presented to those involved in the modular planning at each divisional level. Those who would design the goals and the objectives for divisions and departments, as well as devise the strategies for the implementation of annual objectives, thus would have the benefit of a set of ideas, presented in priority order, which had been structured by a broadly-based group.

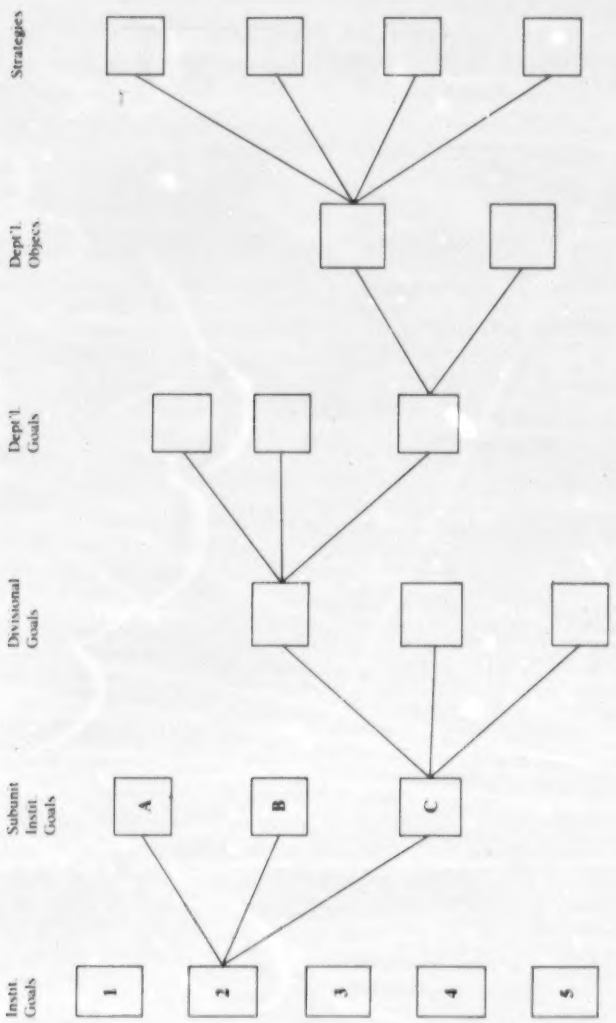
Once the executive staff and the "enlarged" university planning council had reviewed both the diagnostic and the goal statement materials, and agreed to a set of approximately five institutional goals and the appropriate number of sub-goals, it could agree to the formulation of status report materials intended to clarify the goals and their completion dates. The approach by which the goal statements would be modified or adjusted also could be agreed to. Figures 16 and 17, "Institutional Goal Plan," and "Goal Plan Adjustment Analysis," could, for example, be drawn up and utilized throughout the planning process.

The board of trustees, after meeting with the president, the executive staff, and the "enlarged" Planning Council, would be the point of decision-making and adoption of institutional goals. The board would review the diagnostic materials, the summary of images and goals, the graphics, and the summary materials. The board could, if it wished, repeat the images of potential-

ity and force field exercises. If so, it could use its images and goals as additional inputs, but not as substitutes for those produced by the community committee.

A set of meetings probably would have to be set up to give the board the time it will need to understand the process and the products of the retreat, internalize both, make modifications where necessary, and then agree to a set of goal statements.

Figure 14
Goal Tree*



*Adapted from Battelle, 1971.

II. Planning Modules for Divisions and Departments

At this stage the institutional goals and their component statements would be complemented by more specific divisional and departmental goal statements. Detailed activities would then be outlined by the departments in a list of annual objectives. The process of wide participation, and the combining of diagnostic descriptions of university functions with group images of the potential latent in those programs and structures, could be used as well in both divisional and departmental retreats or meetings.

In phase six of the process, the vice president within each particular division such as academic affairs or business affairs, would assume the primary leadership for the identification of the goals of that division. As the process reached particular departments within that division, the appropriate chairmen or directors, depending upon whether it is an academic or an administrative unit, would assume the primary leadership for the formulation of goals and objectives and the related action programs and strategies.

The steps of "o" through "u," as noted in Figure 9 ("Steps Involved in the Development of a Comprehensive Long-Range Plan") could involve the exercises of images of potentiality, force field analysis, task force analyses, and the translation of those images and goals into a tree of goals, interaction matrixes, and the projected goal plans, using a divisional Planning Committee in much the same way as the all-university Council.

Particular attention should be paid to showing the relationship between divisional goals and institutional goals; the mapping out of those subunit goals on a five-year projected scale (adapting Figures 16 and 17, "Institutional Goal Plan" and "Goal Plan Adjustment Analysis" for divisional and departmental goals); the completion of similar operating reports for the attainment of the objectives and their adjustment (See Figures 18 and 19, "Departmental Objectives," and "Departmental Objectives: Adjustment Analysis"); and the selection and implementation of strategies for the timing and sequence of actions (step u). Integration of the goals and objectives of the various departments of a given division into a divisional plan (step v) would complete part II of institutional planning.

III. Integration and Implementation

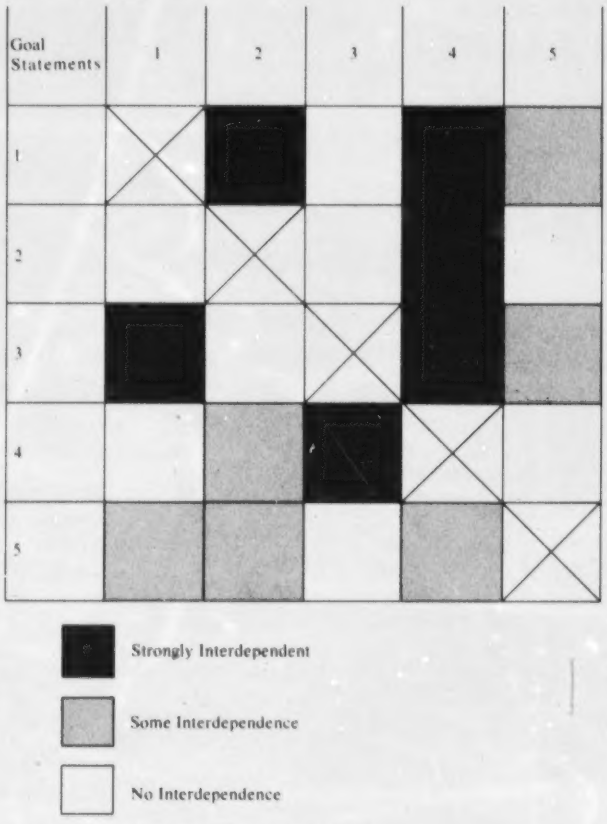
The role of the Special Assistant for Planning will be crucial in the coordination function. Planning documents must be shared and disseminated; modular goals and

objectives must be analyzed thoroughly with an eye to spotting implications for other divisions and departments; and meetings will have to be organized to settle questions of overlappage, contradictions, gaps, or needed support services of one unit by another. Written documentation will be necessary, but so will avoidance of unnecessary or duplicating documentation. The special assistant, and the corresponding staff assistants at the divisional levels, become the catalysts, the gatekeepers and the organizers for this flurry of people, paper and events (step w).

The vigor, stamina, and the workload of the special assistant(s), however, would be exceeded only by the continuous, active and visible presence of the president, the vice presidents and the deans, directors and chairmen prodding, encouraging and facilitating the inclusion and commitment of board members, faculty, staff, students, and community persons. Ideas well conceived and formulated, can not be implemented or their visions attained without the coordinated linkage of planning activities which match the "plan" and both reflect and stimulate the planning perspective (steps x and y). No format or graphic or skill design adequately can describe or capture the spirit of this coordinating responsibility for integration and implementation. It is a matter of style, an ability to live the OD and planned change perspective outlined above, by organizing a critical mass of skills and sensitivities to design and implement the analytic and process components that are essential to institutional planning. To reverse Don Michael, if you plan to learn, you will learn to plan (1971).

The final and decisive step in the planning cycle is the coordination of periodic updates, and the year-end appraisal of outcomes relative to intentions (step z). Evaluation, because it involves appraisal of individuals as well as policies and structures, can be perceived as a threat. Thus a system of monitoring and appraisal will be one of the most difficult things for the university to accept. The results of the appraisal will show what was accomplished by whom and on what timetable, complete with an explanation of the reasons why some outcomes may have not been attained fully on the time-frames desired. It is important that these appraisals be completed by a combined team of the special assistant, a specialist in evaluation and process skills from the Office of Planning Services, and representatives of both the university Planning Council and the divisional planning committees. Accenting the positive and making recommendations on how partial successes can be made whole, rather than noting what was not completed by whom, would also be a wise strategy.

Figure 15
Interaction Matrix*



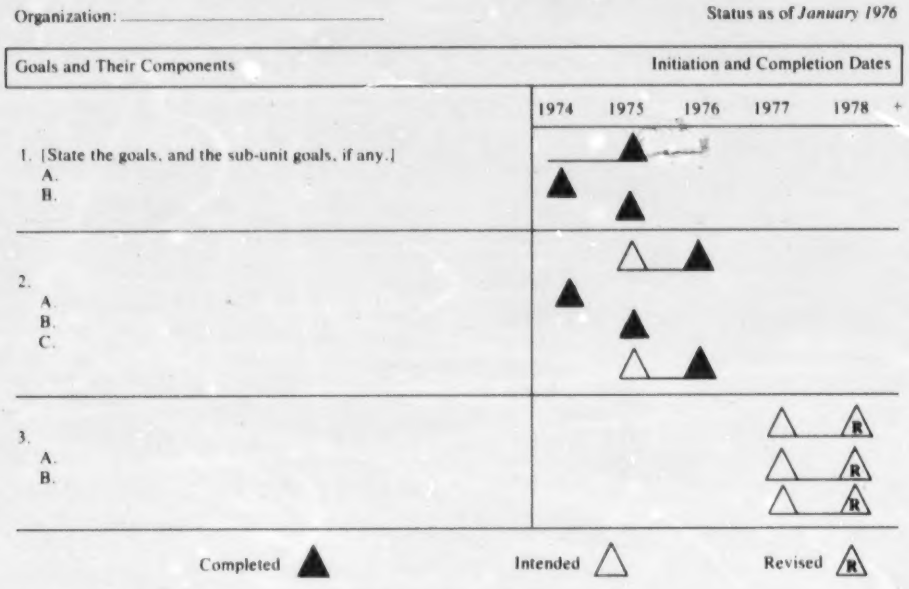
*Adapted from Battelle Laboratories, 1971.

James Hardy's, *Corporate Planning for Non-Profit Organizations,* contains a complete approach to appraisal, including forms and formats for evaluating both the performance of individual staff members and organizational units. (See Hardy, 1972, Monograph 7: "Assessing Performance.") Similar materials which allow a college or university to at least monitor and gauge levels of accomplishment should be designed and adopted through community input and agreement. They should, of course, be tailored in both form and substance, to the needs and sensitivities of each campus.

Appraisal is important as a component in one planning cycle, but essential to the initiation of the next. Knowing exactly what happened the year before and for what

reason becomes part of the "Information on Outcomes." Such outcome information, complete with the diagnostic fact book, and the summary materials on images and goals, are the data referent points for the next cycle of planning. The appraisal material, in particular, can have a major impact on what is in next year's diagnostic fact book, as well as affect one's perceptions about alternatives, parameters, and images of potentiality. The evaluation material should be committed to writing, on forms or in formats that are common throughout the institution. This will allow instant retrieval, build a basis for sharing, and facilitate common understanding of related activities.

Figure 16
Institutional Goal Plan*



*Adapted from the U.S. Department of Health, Education, and Welfare, 1972.
[Note: The same format can be used for presentations of divisional and departmental goals.]

Figure 17
Goal Plan Adjustment Analysis*

Organization _____

Assessment

Major	Problem
Minor	

Goal	Summary of Problem	Actions	
		Underway/Completed	Suggested

*Adapted from U.S. Department of Health, Education and Welfare, 1972.
[Note: The same format can be used for presentations of adjustments in divisional and departmental goals.]

Figure 18
Departmental Objectives*

Organization: _____

Goal: _____

[Note: Such an analysis should be made for each goal and each set of objectives.]

Resources Needed _____

Assessment

Major	Problem
Minor	

Status as of June 1976

Objectives	Initiation and Completion Date
	J F M A M J J A S O N D
1. [State the objective]	▲
2.	▲
3.	△ ▲
4.	△ △R
5.	△
6.	△
7.	△

Completed ▲ Intended △ Revised △R

*Adapted from the U.S. Department of Health, Education and Welfare, 1972.

Figure 19
Departmental Objectives: Adjustment Analysis*

Organization _____

Goal _____

Assessment	
Major	Problem
Minor	

Objective	Summary of Problem	Action	
		Underway/Completed	Recommended
[State the objective or list the number of the objective]			

*Adapted from U.S. Department of Health, Education, and Welfare, 1972.

6: The Responsibiiities for Planning

One of the great deterrents to the successful implementation of any project, no less something as complex as institutional planning, is the confusion within the administration as to who does what. It might be helpful to draw up a summary of planning responsibilities that is agreed to by at least the board of trustees, the president, and the executive staff, and then disseminate it widely. Such a charter or in-house contract, would act as the written referent point to remind the university of who and what is involved in providing leadership for which aspects of the planning process.

The sample charter of responsibilities noted below is illustrative only. A similar outline of the responsibilities of the faculty, the staff, the students and the community also would be helpful: Those specifications probably would crystalize more quickly and effectively, however, if they were included in an existing charter outlining the formal administrative leadership of the president, vice presidents, and board of trustees, as noted below.

Charter of Leadership Responsibilities for Planning

The President

The Perspective of Planned Change

Assume overall responsibility, with the aid of a planning assistant or assistants, for the initiation, implementation, and evaluation of all aspects and stages of the university's planning process. Leadership for and coordination of the process of planned change, would include the following responsibilities.

- Encourage the development of a "culture" for planning, emphasizing the principles and mechanisms of planned change and organization development.
- Assemble a set of persons with process, analytic and feedback skills and abilities that can assist all components of the university in planning (i.e., the formation of an Office of Planning Services).
- Consult with, and foster the participation of the board of trustees, the faculty, the staff, the students, and community personnel (through the appropriate planning councils or committees) in university planning.
- Provide leadership in the formulation of the basic framework, approach, and methodology for all aspects of university planning, including the development of a "Comprehensive Plan for the Development of the University."
- Encourage all university departments and governance committees to analyze both the short-run and long-range implications of specific policies and decisions, and to ponder the impact of one policy on another.
- Facilitate the evaluation of all aspects of both the process and the "products" of planning.

A Comprehensive University Plan

Assume over-all responsibility, for the initiation, implementation, and evaluation of a comprehensive, long-range plan. Such a plan would present an outline of the goals, objectives, programs and projects of the university, its divisions and its departments, over one, five- and ten-year intervals.

- Assume leadership in working with the board of trustees, and the vice presidents, deans, and key administrative directors, in the development, implementation, and periodic revision of a long-range university plan.
- Provide leadership in determining the basic framework, approach, methodology and guidelines (parameters and timetables) for the development of a Comprehensive Plan.
- Consult with and foster the participation of the board of trustees, faculty, staff, students, and community personnel, in the setting of goals and objectives, and in determining the methods and timetables for their implementation.
- Coordinate the effective integration of institutional goals and the various modular plans (the goals, objectives, programs and projects of divisions and departments) into a comprehensive plan for the development of the university.
- Facilitate the evaluation of all aspects of the university plan, and provide for the annual iterative process of updating and perfecting of that plan.

Vice Presidents, Deans, and Administrative Directors

Monitor all aspects of planning in a given area.

Consult with and foster the participation of the appropriate representative grouping of faculty, staff, students, and community personnel, in all aspects of modular planning.

Participate in the development of the university's comprehensive long-range plan.

- Recommend and approve, in concert with the president, and other executive staff members, and their advisory groups, the general, long-range goals of the university.
- Coordinate the completion of the appropriate area planning module.

• Coordinate the implementation and evaluation of the area planning module, and its annual updates.

The Board of Trustees

Encourage and assist the president in the implementation of the planned change and organization development approach to university administration.

Participate in the formulation of institutional goals.

Approve all aspects of the university's comprehensive plan.

Graphics

Figure 1 The Cyclical Phases of Planning.
Figure 2 Inputs in Goal-Setting.
Figure 3 Elements of a Written "Plan."
Figure 4 Phases and Elements of Planning.
Figure 5 The Convergence of Functions, Skills and Roles.
Figure 6 Framework for University Planning.
Figure 7 Guideline for Presentations.
Figure 8 Planning Interests.
Figure 9 Steps Involved in the Development of a Comprehensive Long-Range Plan.
Figure 10 Goal Determination.
Figure 11 Inputs from the Future.
Figure 12 Inputs to Goal Setting.
Figure 13 Force Field Analysis.
Figure 14 Goal Tree.
Figure 15 Interaction Matrix.
Figure 16 Institutional Goal Plan.
Figure 17 Goal Plan Adjustment Analysis.
Figure 18 Departmental Objectives.
Figure 19 Departmental Objectives: Adjustment Analysis.

References

American Association of State Colleges and Universities. *Financial Status of State Colleges and Universities*. Washington, D.C. 1973.

Battelle. *Development of a Unified Systems Engineering Approach*. Columbus, Ohio. 1971.

Bennis, Warren. *The Leaning Ivory Tower*. San Francisco: Jossey-Bass, 1973.

Bennis, Warren, and Shein, Edgar. "Principles and Strategies in the Use of Laboratory Training for Improving Social Systems." In Bennis, Warren; Benne, Kenneth; and Chin, Robert. *The Planning of Change*. New York: Holt, Rinehart and Winston, 1969.

Burke, W. Warner, and Hornstein, Harvey A. *The Social Technology of Organization Development*. Fairfax, Virginia: NTL Learning Resources Corp., 1972.

Carnegie Commission on Higher Education. *The Purposes and Performance of Higher Education in the United States: Approaching the Year 2000*. Berkeley, Cal.: 1973.

Casasco, Juan. *Corporate Planning Models for University Management*. Washington, D.C.: ERIC Clearinghouse on Higher Education, George Washington University, 1970.

Cheit, Earl. *The New Depression in Higher Education—Two Years Later*. Berkeley, Cal.: Carnegie Commission, 1973.

Davis, Sheldon. "An Organic Problem-Solving Method of Organizational Change." In Bennis, Warren; Benne, Kenneth; and Chin, Robert. *The Planning of Change*. New York: Holt, Rinehart and Winston, 1969.

Dressel, Paul. *Evaluation in Higher Education*. Boston: Houghton Mifflin, 1961.

Ewing, David. *The Human Side of Planning*. New York: Macmillan, 1969.

Foster, Michael. "An Introduction to the Theory and Practice of Action Research in Work Organization." *Human Relations*. Vol. 25, No. 6, 1972.

Fox, Robert; Lippitt, Ronald; and Schindler-Rainman, Eva. *Towards a Humane Society: Images of Potentiality*. NTL Learning Resources Corporation, 1973.

Friedman, J. "The Future of Comprehensive Urban Planning: A Critique." *Public Administration Review*, 1971.

Hardy, James. *Corporate Planning for Nonprofit Organizations*. New York: Association Press, 1972.

Hechinger, Fred. "Campus Adrift." *New York Times*, December 18, 1973.

Human Resource Development Associates. *How To Change Things*. Ann Arbor, Michigan, 1973.

Jantsch, E. *Perspectives of Planning*. Paris: Organization for Economic Cooperation and Development, 1969.

Johnson, Charles, and Katzenmeyer, William. *Management Information Systems in Higher Education: The State of the Art*. Durham, North Carolina: North Carolina Press, 1969.

Jung, Charles. "Force Field Techniques of Diagnosing a Problem." Ann Arbor, Michigan: Center for the Research on Utilization of Scientific Knowledge, Institute for Social Research, University of Michigan, September, 1966.

Kahn, A. *Theory and Practice of Social Planning*. New York: Russell Sage Foundation, 1969.

Kerr, Clark. *The Uses of the University*. Cambridge: Harvard University Press, 1963.

Kreitlow, Burton, and MacNeil, Teresa. "A Model for Educational Improvement." Paper presented at the Annual Meeting, American Educational Research Association, Los Angeles, California, February, 1969.

Lawrence, Paul, and Lorsch, Jay. "Differentiation and Integration in Complex Organizations." *Administrative Science Quarterly*, June, 1967.

Lewin, Kurt. "Frontiers in Group Dynamics." *Human Relations*. 1947, No. 1, page 34.

Lewin, Kurt. "Group Decision and Social Change." In Maccoby, Eleanor; Newcomb, Theodore; and Hartley, Eugene. *Readings in Social Psychology*. New York: Holt, Rinehart and Winston, 1958.

Lippitt, Ronald; Watson, Jeanne; and Westley, Bruce. *The Dynamics of Planned Change*. New York: Harcourt, Brace and World, 1958.

Maccoby, Eleanor; Newcomb, Theodore; and Hartley, Eugene. *Readings in Social Psychology*. New York: Holt, Rinehart and Winston, 1958.

Michael, Donald. *On Learning to Plan and Planning to Learn*. San Francisco: Jossey-Bass, 1973.

National Laboratory for Higher Education. *The Educational Development Officer: Role, Tasks and Training*. Durham, North Carolina, 1972.

National Training Laboratories. *News and Reports*. Arlington, Virginia: Vol. II, No. 3, June, 1968.

North Central Association of Colleges and Secondary Schools. *Interim Evaluation Guide for Institutional Assessment*. Chicago: October, 1973.

Ozbekhan, H. "Toward a General Theory of Planning." In Jantsch, E. *Perspectives of Planning*. Paris: Organization for Economic Cooperation and Development, 1969.

Peterson, Marvin W. *Some Organizational Implications of a Management Information System*. Ann Arbor, Michigan: The Center for the Study of Higher Education, University of Michigan, 1973.

Peterson, Richard. *The Crisis of Purpose: Definition and Uses of Institutional Goals*. Washington, D.C.: ERIC Clearinghouse on Higher Education, Report 5, 1970.

Reston, James. "A Confusion of Purpose Grips Capital." *Detroit Free Press*. March 3, 1966.

Rogers, E., with Shoemaker, F. *Diffusion of Innovations*. New York: The Free Press, 1971.

Sarason, Seymour. *The Creation of Settings and the Future of Societies*. San Francisco: Jossey-Bass, 1972.

Seashore, Stanley E., and Bowers, David G. "The Durability of Organizational Change." In Burke, W. Warner, and Hornstein, Harvey A. *The Social Technology of Organization Development*. Fairfax, Virginia: NTL Learning Resources Corp., 1972.

Sturner, William. "Harbingers of Change." *Notre Dame Journal of Education*. Spring, 1972.

U.S. Department of Health, Education and Welfare. *Operational Planning System Handbook*. Washington, D.C.

March, 1972.
Van Dusseldorp, Ralph. "Some Principles for the Development of Management Information Systems." In Johnson, Charles, and Katzenmeyer, William, *Management Information Systems in Higher Education: The State of the Art*. Durham, North Carolina: North Carolina Press, 1969.